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ABSTRACT

This SPEC (Systems and Procedures Exchange Center) Kit reports results of a survey of ARL (Association of Research Libraries) that examined post-tenure review of librarians throughout higher education in North America. The purpose of the survey was to identify which institutions apply post-tenure or post-continuing appointment review to library professionals, whether the policy is the same as for faculty, what the process and criteria for review are, and what the consequences and impact of review are for library professionals. A copy of the questionnaire with tabulated results is presented. The following representative documents from participating libraries are included: (1) tenure and continuing appointment policies from Colorado State University, Iowa State University, and Texas Tech University; (2) tenure criteria from Colorado State University, Iowa State University, Pennsylvania State University, and the University of Tennessee; (3) post-tenure review policy from Colorado State University, Iowa State University, the University of Florida, Pennsylvania State University, the University of Tennessee, Texas A&M University, Texas Tech University, and Virginia Tech University; (4) professional development plans from the University of Hawaii, Indiana University, and Texas A&M University; and (5) discipline and dismissal policies from Colorado State University, Iowa State University, Pennsylvania State University, and Texas Tech University. (Contains 71 references.) (MES)

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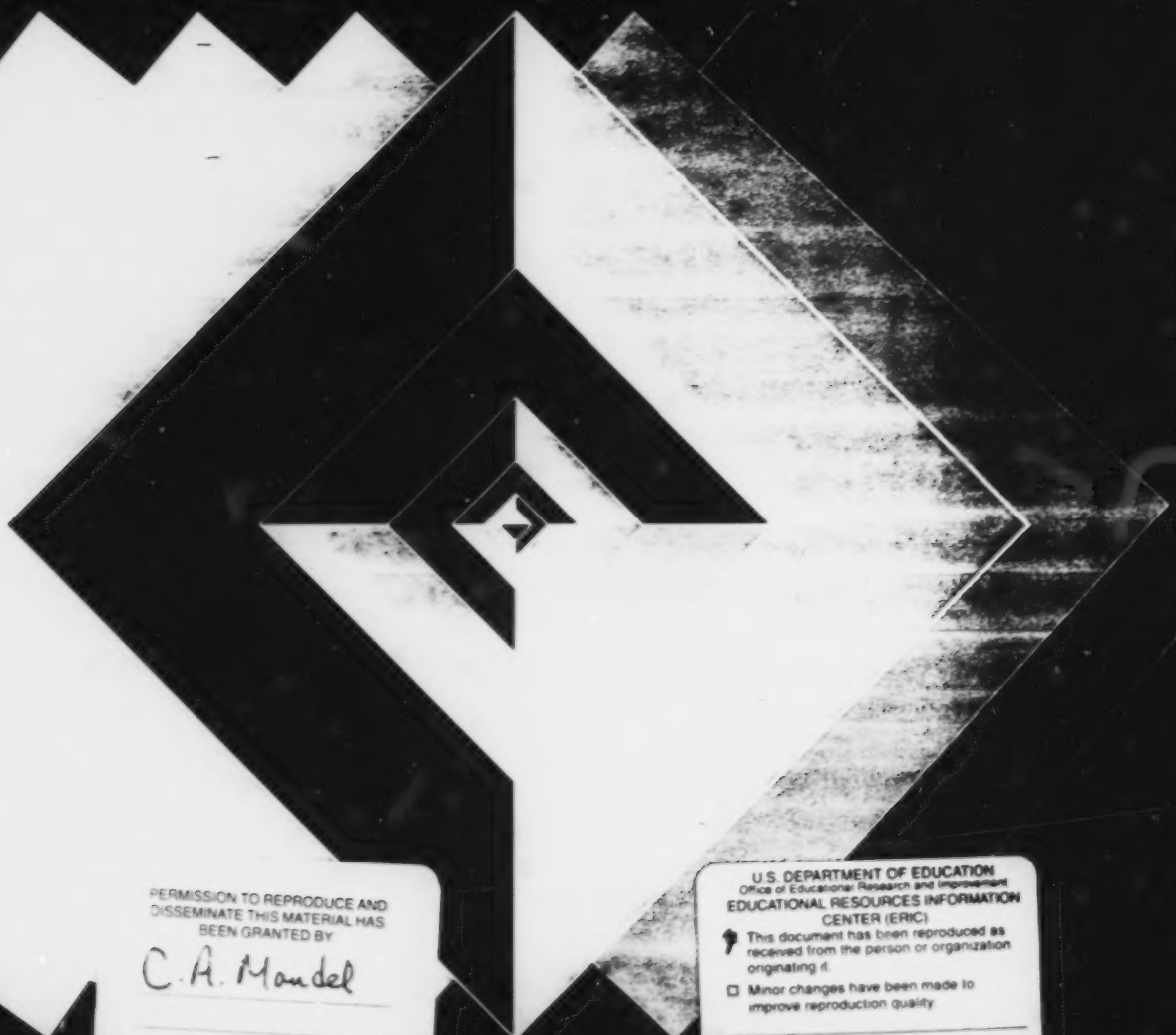
SPEC Kit 261

Post-Tenure Review

October 2000



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SPEC

Post-Tenure Review

A SPEC Kit compiled by

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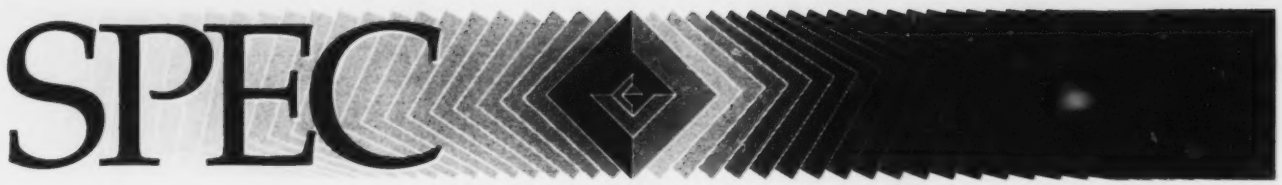

SURVEY

Executive Summary

Introduction

Throughout the 1990s, the concept of tenure for faculty members at universities and colleges came under fire from state legislators, boards of trustees, and the public at large. Legislatures and taxpayers were particularly concerned that tenure had become a lifetime guarantee of employment at a time when jobs in the corporate, government, and nonprofit sectors were no longer secure. It was difficult for the academy to communicate the rigor of the tenure process and the constant, ongoing review that takes place in academe through grants, refereed articles, invited and competitive presentations, national awards, sabbatical leaves, and the achievement of full rank status.

Post-tenure review was one answer to the public's demand for standards and accountability in faculty work. At the end of 2000, a substantial number of higher education institutions have either implemented these policies or have post-tenure review policies under development. Interestingly, it has been estimated nationally that post-tenure review will potentially affect only one to two percent of the faculty. Put another way, this estimate suggests that 98 to 99 percent of faculty members are productive and perform at a satisfactory level. One could easily question whether corporations or government entities can claim the same percentage of effectiveness on the part of their professionals.

The concept of post-tenure review does not seem nearly as alien or as threatening now, as it did when it was first proposed. However, as with any broad-reaching policy, there are difficulties in the details. Many of the institutions that have adopted post-tenure review are struggling with the intricacies of implementing a system that is fair, not overly burdensome, and that strikes a balance between the rights of the faculty member—particularly for due process and academic freedom—and the legitimate need of the institution to certify to its constituents that all faculty are meeting a minimal level of performance and productivity. In addition, institutions that have had a post-tenure policy for several years may be grappling with their first cases of unsatisfactory faculty members for whom dismissal may be a real possibility.

As the survey for this SPEC Kit discovered, librarians who work in higher education settings are not beyond the reach of post-tenure review. Certainly, librarians who hold tenured or tenure-like appointments may be subject to post-tenure review, but librarians in continuing appointments or contract-like appointments may also be subject to a mandatory and systematic review system that is similar to a post-tenure review process.

A Case Study: the Development of Post-Tenure Review at IUPUI

The development of a post-tenure review policy at Indiana University Purdue University Indianapolis (IUPUI) encompassed many years of work and is unique in its consideration of the special needs of librarians who hold tenured and tenure-track positions. The post-tenure review policy had its foundation in the final report of a campus task force on faculty appointments and advancements and is part of a suite of documents covering faculty work. These documents include policies on faculty dismissal; financial exigency;

faculty service activities; and the merger, reduction, and elimination of academic programs. Throughout the work of the task force, librarians were intimately involved. They took the draft documents submitted by the task force and shaped them to include the needs of librarians, particularly the criteria for promotion and tenure, as well as the unique work settings and assignments.

Several factors contributed to the establishment of post-tenure review for librarians. First, IUPUI is an entrepreneurial campus that has benefited from the strategic application of models from the business world. In addition, IUPUI faculty governance bodies have good working relationships with campus administration. For example, throughout the development of the post-tenure review policy, key campus administrators offered guidance and assistance, although the policy was prepared by faculty and presented to colleagues for consideration, and ultimately for approval, by the IUPUI faculty council.

Preparations began in 1996, when the IUPUI faculty affairs committee started intensive work on a post-tenure review policy for the campus. A subcommittee gathered documents from universities and colleges across the country and studied articles, published statements, and presentations on post-tenure review. The subcommittee made several important philosophical decisions. They decided to design a "triggering" type of post-tenure review policy, rather than have all faculty members submit to a review process after a prescribed number of years—what was referred to as the "every five years, everybody has to do it" type of system. Subcommittee members believed that post-tenure review would affect very few faculty members, so the policy was narrowly tailored in its reach and application. In addition, they favored the "triggering" type of policy because it would take advantage of existing faculty review mechanisms, rather than create an entirely new structure. The concept of peer review was woven throughout the policy. The faculty member's review committee would be composed of elected faculty from his or her school. Administrators were disqualified from serving on the review committee.

Due process and the protection of academic freedom were emphasized in the guiding principles section of the policy. They were built into several steps of the review process as well, including many opportunities for the process to be stopped if claimed deficiencies in performance were not substantiated. This protects faculty members from capricious decisions by a dean or department chair. It is important to note that post-tenure review can not be used for programmatic change or evolve into a third route to dismissal. IUPUI already has dismissal policies for incompetence and misconduct.

Despite the thorough development process, post-tenure review has many negative connotations, particularly among senior faculty. Some see it as a way to force them out, while others believe that they are being held to unfairly high standards. Philosophical decisions made at IUPUI, however, stressed positive outcomes, rather than punitive motivations. The policy was originally named "Faculty Review and Enhancement" to emphasize that it is more than just a review of faculty. It also encompasses career enhancement, including a pledge of campus resources to support faculty development plans for those identified as needing extra assistance to achieve a satisfactory level of performance and productivity. Faculty members also have the option to self-select a development plan if they desire a change in career focus or research agenda. This option was designed as a faculty development policy and presented to the faculty as such. Interestingly, IUPUI's Faculty Review and Enhancement policy meets the criteria that have been advanced by the American Association of University Professors (AAUP).

Since librarians at IUPUI hold tenure-track and tenured appointments, the specific performance criteria and administrative structure for librarians were blended into the draft policy. The title of the draft policy was changed to "Faculty/Librarian Review and Enhancement." To have the role of librarians recognized throughout the policy and to have "librarian" included in the title of the policy is unique and compelling evidence that IUPUI

functions as an academic team. It is important to note that although there is a university library on campus that functions as an independent responsibility center, the librarians in the professional schools of law, dentistry, and medicine report to their respective deans.

After a considerable period of time for input and revision of the draft policy, IUPUI's post-tenure review document was approved by the IUPUI faculty council in May 1998. Slight revisions were made to the policy throughout 1999, and the schools and library of the university were given a year to draft and approve their implementation plans. These plans were reviewed and approved by a task force composed of three department chairs, two faculty members, a librarian, and a representative from the office for professional development. These plans required schools to determine a definition of "unsatisfactory," provide details on the election of review committees, and specify what would happen if a duly elected review committee member was unable to serve. Clearly, the most difficult of these three tasks was to draft a definition of "unsatisfactory" that was not too vague, nor too specific, nor that set the performance "bar" for what constituted satisfactory performance too low or too high. In addition, schools are now required to certify annually that all faculty members and librarians have been reviewed. As of now, nearly all schools have their implementation plans in place and are beginning their second year of annual reviews conducted with the Faculty/Librarian Review and Enhancement policy in force.

Due to the successful adoption of this policy at IUPUI, the authors of this SPEC Kit became interested in investigating the impact of post-tenure review on librarians throughout higher education in North America. To what extent were librarians included in overall campus or university post-tenure systems, rather than placed under a separate post-tenure or post-continuing appointment review process? Although there are many articles that cover tenure for librarians, several literature searches conducted over a year-long period failed to find any articles that addressed post-tenure review of librarians.

Background

The survey was sent to 121 ARL member libraries. There were 55 responses, for a return rate of 45%. Twenty-five percent of the respondents noted that librarians have tenure track appointments, while 25% indicated a system of continuing appointment, and 7% reported a combination of tenure track and continuing appointments. However, 42% indicated that librarians did not have either tenure track or a system of continuing appointments. Survey results are thus primarily based on the 32 libraries that have either tenure track or a system of continuing appointments for librarians.

Forty-eight percent of respondents indicated that their institutions have a post-tenure or post-continuing appointment review policy for their faculty. However, a nearly equal percentage indicated a negative response. Two institutions had a policy either in development or under discussion. Thirty-eight percent of the institutions with policies cover librarians as well as faculty members, while librarians have a separate policy at 28% of the institutions. At 34% of them, there is no review policy for librarians. Although these post-tenure review policies may have been in place since the early 1980s, most respondents indicated that their policies had been developed in the years 1997–2000. This sharp increase in development of post-tenure review policies during the last five years is consistent with national data.

Where does the pressure for the implementation of post-tenure review come from? Twenty-nine percent of respondents indicated that development of post-tenure or post-continuing appointment review happened as the result of a mandate from the state legislature. An equal percentage indicated that the mandate was from university administration. One institution indicated that post-tenure review was the result of a faculty request. Interestingly, 35% of respondents indicated that the implementation of post-tenure review was a response to requests from multiple groups and, as was the case at IUPUI, a cooperative project between faculty governance bodies and administration.

Review Process

Respondents noted a mixture of types of post-tenure review systems. They ranged from a regular cycle of reviews that would take place annually, every three, five, six, or seven years, to a "triggering" type system similar to what has been implemented at IUPUI. Some institutions reported a hybrid system of annual or cyclical reviews, with additional reviews allowed in response to triggering events, such as poor performance. Respondents indicated that a peer-review committee conducts post-tenure or post-continuing appointment reviews at 69% of the institutions, while library directors, associate directors, assistance deans, immediate supervisors, unit heads, and library human resources directors may also conduct this type of review.

A variety of documentation can be included in a dossier prepared for a post-tenure or post-continuing appointment review. Among these documents are assessments of job performance (94%); a current curriculum vitae (81%); a position description (50%); representative samples of contributions to the library, the profession, or the community (31%); letters of reference (25%); and lists of references (19%). Responses show that the criteria for evaluating review candidates include a record of achievement, evidence of skills and knowledge appropriate to the position, service to the institution, service to the library profession, evidence of achievement of previously established goals, and service to the community. Although these criteria may be the same as those used in promotion and tenure determinations, respondents observed that there may be more discretion in this process or that the intent of a post-tenure review is much different than the review for awarding tenure or promotion.

A consideration in the development of post-tenure review policies is whether there will be any consequences attached. Respondents noted a variety of both positive and negative consequences from a post-tenure or post-continuing appointment review. Positive consequences include the opportunity for continuing employment, salary increases, larger than average raises, increased conference and travel support, special project assignments, mentoring opportunities, and sabbaticals. On the other hand, negative consequences could be remediation, loss of conference support, and loss of travel support. Interestingly, no respondents indicated salary reduction or more "desk duty" as a negative consequence that might result from a negative post-tenure process. A reduction in salary through denial of merit increases is typically the first type of intermediate sanction that is instituted against a poorly performing or disengaged faculty member. However, its impact is limited, as many institutions can give only minimal raises to faculty in general.

In 94% of the responding institutions, a development plan is written if a librarian receives a negative review. This is excellent news and points to the philosophy that post-tenure or post-continuing appointment review should be remedial in intent, rather than punitive. Respondents noted a variety of participants in the design of a development plan, including immediate supervisors (50%), library directors (38%), associate directors (38%), unit heads (31%), and peer-review committees (25%). Respondents indicated that the preparation of a development plan may permit input by the librarian being reviewed or be part of a cooperative process between the librarian and the review committee. Respondents also indicated that the development plan can be one, two, or three years in duration. The consequences of not fulfilling a development plan include dismissal (56%), remediation (44%), change in assignment (38%), or a smaller raise (38%).

The assurance of due process is a common theme in the development of post-tenure review policies. Respondents indicated that an appeal is permitted after a negative judgment at 13 institutions (81%), with respondents noting several routes of appeal.

An important component of the Faculty/Librarian Review and Enhancement policy at IUPUI is the opportunity for a voluntary review and development plan. Faculty members or librarians, who seek a new career direction or feel the need for professional refreshment, can have a panel of peers assist them in the design of a plan that fits their own goals and is consistent with the mission and needs

of the school. Nearly half (47%) of the survey respondents indicated that institutions allow librarians to request an out-of-cycle review leading to the preparation of a development plan.

Budget

A significant concern at IUPUI was the funding that would be required for the Faculty/Librarian Review and Enhancement policy, the bulk of which would be devoted to supporting the development plans for unsatisfactory faculty members and librarians, including coverage for release time. To many, it still seems a bit unwise to channel already scarce resources towards marginal or unproductive individuals, when there are many highly effective and productive faculty members and librarians who would benefit and make even greater contributions should funding be granted to them instead of weaker performers. Seventy-five percent of the respondents indicated that no additional resources had been budgeted for costs associated with a post-tenure or post-continuing appointment review process. Respondents from four institutions noted that resources had been budgeted, but comments suggested that the source of this funding was not yet identified. In 73% of the institutions, this funding comes out of the library's budget, while at two institutions the campus administration budget supports post-tenure review activities.

Performance Improvement Strategies

Respondents indicated a wide variety of resources and services that are available to assist librarians in improving their performance. These include on- and off-campus workshops, travel and conference support, formal and informal mentoring systems, short-term research leave, small grants for performance improvement, and additional clerical support.

At many institutions, a system of post-tenure or post-continuing appointment reviews is so new that it is premature to judge the effectiveness of these policies. Several respondents felt that post-tenure review had a number of benefits, including the ability to address performance issues, improve overall faculty standing, assist in goal setting and the delineation of expectations, advance communication between librarians and supervisors, provide evidence of the already outstanding performance of librarians, and help maintain levels of achievement and productivity. On the other hand, some respondents were less than supportive of a post-tenure or post-continuing appointment review process, finding it more of an empty exercise than a true route to performance enhancement.

Conclusion

Many academic librarians, particularly those employed in public higher education institutions who hold tenure-track and tenured appointments, may be affected by post-tenure review now or in the future as more institutions develop post-tenure review policies and procedures. Other academic librarians, especially those with continuing appointments or contract-like appointments, may also be subject to systems of regular review similar to post-tenure procedures. At this time, it is too early to determine the effectiveness of post-tenure or post-continuing appointment review processes in improving faculty and librarian performance and enhancing the productivity of higher education. It is also too early to say whether it will address the need for greater accountability to outside constituencies. However, it does seem clear that some form of regular, systematic review to assure a minimum level of performance will be required of faculty members and librarians in higher education institutions.

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Post-Tenure Review

Survey Results

Post-tenure review is a new phenomenon at many colleges and universities. Research shows that two-thirds of public institutions of higher learning have a post-tenure review policy in place, are developing such a policy, or are considering the need for such a policy. Strong views have emerged on all sides of this issue, from looking at post-tenure review as a device to save tenure to declaring that post-tenure review is a threat to tenure's very existence. The impact of post-tenure review on library professionals may vary widely, depending first on whether they are awarded tenure or an equivalent continuing appointment status and then on whether they are covered by an overall campus policy or develop a library specific policy.

The purpose of this survey is to identify which institutions apply post-tenure or post-continuing appointment review to library professionals, whether the policy is the same as for faculty, what the process and criteria for review are, and what the consequences and impact of review are for library professionals.

This survey was prepared by Sara Anne Hook, Associate Dean of the Faculties and Professor of Dental Informatics, N. Doug Lees, Chair, Department of Biology, and Gerald Powers, Professor, Indiana University School of Social Work, at Indiana University Purdue University Indianapolis (IUPUI).

Please submit this survey and send the requested documentation by August 4, 2000. As always, individual responses to the survey will be treated confidentially.

Note: Fifty-five of the 121 ARL member libraries (45%) responded to this survey.

Background

1. Do library professionals at your institution have either tenure track positions or an equivalent expectation of continuing appointment? (n=55)

Yes, tenure	14	25%
Yes, continuing appointment	14	25%
Yes, a combination	4	7%
No	23	42%

(cont'd)

Comments:

Respondents indicated a wide variety of employment arrangements, including: faculty status; fixed-term appointments with the opportunity for reappointment; academic faculty status with rank, but with two- or three-year contracts rather than tenure; permanent status in the faculty association collective bargaining agreement; employment security status-track positions; at-will employment, which includes termination at the employer's discretion with two weeks notice or two weeks of salary in lieu of notice; non-tenure track status; and "potential career" status, which will be converted to "career status," if the librarian achieves promotion after six years of service at the institution.

2. Does your institution have a post-tenure or post-continuing appointment review policy for faculty? (n=31)

Yes	15	48%
No	14	45%
In development	1	3%
In discussion	1	3%

Comments:

Among the various comments were: faculty must have at least a yearly review, based on vitae and supporting materials; faculty with tenure are reviewed every two or three years, depending on rank; and faculty who teach are evaluated on their teaching effectiveness. One respondent noted the library faculty as a governance body is provided the opportunity to develop its own policies and procedures for appointments, reappointments, promotion, and tenure, as long as these policies and procedures comply with overall university guidelines.

3. Does this policy cover post-tenure or post-continuing appointment review for library professionals? (n=29)

Yes	11	38%
No, there is no review policy for librarians	10	34%
No, librarians have a separate review policy	8	28%

Comments:

Respondents indicated that librarians may be reviewed annually or every two or three years, sometimes with informal reviews during the years in between. One respondent noted that the annual review process is tied to merit increases from a pool of money and that participation in this process is not mandatory. One respondent explained that librarians who hold academic status have a review policy.

4. In which year was the post-tenure or post-continuing appointment review policy established? (n=16)

1979	1
1981	1
1984	1
1985	1
1987	1
1994	1
1997	3
1998	2
1999	3
2000	2

Comments:

One respondent indicated that the policy that was originally passed has undergone substantial changes and will be sent to the faculty senate in fall of 2000. Because post-tenure review is so new at most institutions, it is expected that many policies may be revised once institutions have been through a cycle of the process.

5. How did post-tenure or post-continuing appointment review happen at your institution? (n=17)

Mandate from the state legislature	5	29%
Mandate from university administration (chancellor, provost, etc.)	5	29%
Request of faculty	1	6%
Mandate from the university's trustees	0	
Other (please explain)	6	35%

Several respondents indicated that post-tenure review was the result of multiple factors, including interest from state legislatures, university administration, the president of the university, faculty governance bodies, and often a result of a cooperatively developed plan between university administration and faculty governance. At one institution, the plan was the result of negotiations between university administration and the collective bargaining unit that represents faculty and librarians.

Review Process

6. What determines the timing of a post-tenure or post-continuing appointment review? Check all that apply. (n=24)

Specific time interval	13	54%

Number of years between reviews	n
1	4
3	1
5	4
6	1
7	3

Triggered by:

Negative periodic review	3	13%
How many negative reviews?	2	
Recommendation from dean	0	
Recommendation from department chair	0	
Recommendation from peers or peer-review committee	0	
Other faculty committee	0	
Other (please explain)	8	33%

These responses are typical of post-tenure review in general, with most institutions adopting either a "triggering" mechanism for post-tenure review or a "periodic" system, with cycles ranging from three to seven years between reviews. Other institutions continue to rely on an existing annual review process or to blend "triggering" and "periodic" methods into a hybrid system.

7. Who conducts the post-tenure or post-continuing appointment review for library professionals? Check all that apply. (n=16)

Peer review committee	11	69%

Number of members	n
3	5
4	1
5	2
6	1

Library director	7	44%
Associate director	6	38%
Immediate supervisor	6	38%
Unit head	5	31%
Library human resources director	3	19%
Other	0	

Comments:

One respondent indicated that an assistant dean is responsible for conducting the reviews because they do not have associate deans. Another respondent noted that the review committee is comprised of one member appointed by the faculty member or librarian, one member appointed by the dean of the libraries, and one member appointed by the library faculty. At another institution, the respondent explained that reviews are handled by the administrator who conducts the regular annual reviews for the librarian, but that the dean and associate dean are also part of the review process.

8. Which documents are included in the post-tenure or post-continuing appointment review dossier? Check all that apply. (n=16)

Assessments of job performance	15	94%
Current vitae	13	81%
Position description	8	50%
Representative samples of contributions to the library, profession, or community	5	31%
Letters of reference	4	25%
List of references	3	19%
Other (please explain)	7	44%

Respondents listed many types of documents, including a self-analysis, a list of updated goals and objectives, a statement from the department head, an assessment of research and service, reports from review committees, a list of references, and letters from references. One respondent noted that the librarian is allowed to include any documents he or she would like to have considered, but that certain materials are mandatory. Another respondent indicated that the committee conducting the review is permitted to request materials beyond what is included in the dossier.

9. By what criteria is post-tenure or post-continuing appointment performance evaluated? Check all that apply. (n=16)

Record of achievement	14	88%
Skills and knowledge appropriate to the position	14	88%
Service to the institution	13	81%
Service to the library profession	13	81%
Evidence of advancing toward previously established goals	12	75%
Service to the community	9	56%
Other (please explain)	2	13%

One respondent described their institution's post-tenure review process as a thorough evaluation of the faculty member's accomplishments over the past five years or since he or she was tenured or promoted. Another respondent noted that a broad definition of scholarship was used in the process.

10. Are these criteria the same as or different from the criteria for awarding tenure or continuing appointment? (n=16)

Same	11	69%
Different	5	31%

Comments:

Respondents noted that the criteria may be the same, but there may be more discretion in the process or less extensive documentation needed. Other respondents noted that the intent of a post-tenure or post-continuing appointment review process is to demonstrate a continuing contribution, highlight accomplishments, show active engagement as a faculty member, or develop a plan to identify and provide remediation for deficiencies.

11. What are the consequences of a post-tenure or post-continuing appointment review? Check all that apply. (n=16)

	Positive Review	Negative Review
Continuing employment	9	1
Salary increase	5	0
Larger than average raise	5	0
Increased conference support	2	0
Increased travel support	2	0
Special project assignments	2	0
Smaller than average raise	1	2
Opportunity to mentor	1	1
Sabbatical	1	0
Remediation	0	10
Dismissal	0	6
Loss of conference support	0	1
Loss of travel support	0	1
More "desk duty"	0	0
Salary reduction	0	0
Other (please explain)	2	2

Respondents listed both positive and negative consequences from a post-tenure or post-continuing appointment review process. An important benefit to the process identified by several respondents is that librarians have a good idea where they stand when applying for promotion. One respondent suggested that a positive review would be considered a strong indication to seek promotion to full rank. One respondent noted that a salary increase might be available in the case of a positive review, if funding was available from the provost. Another benefit noted by respondents is the opportunity for feedback on one's performance. In institutions with a periodic post-tenure review process, a positive review means that the librarian is "off the hook" until his or her next review cycle.

12. If a librarian receives a negative review, is a development plan written?

Yes	15	94%
No	1	6%

Comments:

It is heartening to see that institutions have made a commitment to remediation when the review of a librarian's performance is negative. One respondent indicated that a negative review which results in remediation is rare.

13. If a development plan is written, who designs the plan? Check all that apply. (n=16)

Immediate supervisor	8	50%
Library director	6	38%
Associate director	6	38%
Unit head	5	31%
Peer review committee	4	25%
Library human resources director	0	
Other (please explain)	4	25%

Many individuals could be responsible for designing a development plan. Respondents indicated some interesting combinations, including a system where an assistant dean would design the plan in consultation with a unit head and dean, a plan that is the combined effort of the librarian under review and the unit head, a plan that is co-authored by the librarian and the review committee, or a system where the librarian has input into the process even though others may actually write the development plan.

14. How many years does the development plan allow for meeting the improvement goal?

Number of years	**n**
1	2
2	1
3	1

15. What are the consequences of not fulfilling a development plan? Check all that apply. (n=16)

Dismissal	9	56%
Remediation	7	44%
Change in assignment	6	38%
Smaller raise	6	38%
Salary reduction	0	
Loss of travel support	0	
Loss of conference support	0	
More "desk duty"	0	
Other (please explain)	4	25%

Respondents also indicated poor performance evaluations and out-of-cycle reviews, in addition to the consequences listed above.

16. Does the post-tenure or post-continuing appointment review process allow for the appeal of a negative judgment of a librarian?

Yes	13	81%
No	3	19%

Comments:

Respondents indicated several types of appeal routes, including a direct request from the librarian who receives a negative review, a request for review by the peer review committee, a special review by an associate dean, or an appeal to a university-wide committee.

17. Does the post-tenure or post-continuing appointment review policy at your institution provide for out-of-cycle review (i.e., can a library professional who needs new challenges request a development plan)?

Yes	7	47%
No	8	53%

Comments:

This was considered to be an important component of post-tenure review at IUPUI, putting the emphasis of the policy on enhancing performance and productivity, rather than making it a purely punitive mechanism to address performance deficiencies. Two respondents indicated that a librarian is allowed to request an alternate cycle of review or more frequent reviews. Another respondent noted that administrators are free to initiate a review process at any time. One plan did not address this, but the respondent felt that it would be permissible for the librarian to make such a request.

Budget

18. Have additional resources been budgeted for the post-tenure or post-continuing appointment review process at your institution?

Yes	4	25%
No	12	75%

(cont'd)

Comments:

Budgeting for post-tenure review is a recurrent theme in practice, particularly when scarce funding may need to be devoted to remediation efforts for weaker faculty and librarians, rather than being given to enhance the activities of productive faculty and librarians. One respondent indicated that funding to support a post-tenure or post-continuing appointment review process was considered to be part of a manager's human resources responsibilities and thus should come out of that budget. Other respondents indicated that the policy suggested that funds would be made available, though the source of these funds has not been determined.

19. Whose budget do these resources come out of? (n=11)

Library budget	8	73%
Campus administration	2	18%
Faculty development	0	
University-wide budget	0	
Outside funds	0	
Other (please explain)	1	9%

One respondent indicated that these would be the responsibility of the library, with the money coming from a faculty development fund.

Performance Improvement Strategies

20. What kind of resources and services are available to assist library professionals in improving their performance? Check all that apply. (n=16)

On-campus workshops	15	94%
Off-campus workshops	14	88%
Travel support	14	88%
Conference support	14	88%
Mentoring, informal system	13	81%
Short-term research leaves	10	63%
Release time from duties	9	56%
Sabbatical leaves	8	50%
Small grants for performance improvement	5	31%
Mentoring, formal system	4	25%
Additional clerical support	4	25%
Other (please explain)	1	6%

One respondent noted that an associate director or department chair could exercise any of the above options. Alternatively, they could design a plan that would specifically address a particular area of weakness.

21. What has been the impact of the post-tenure or post-continuing appointment review process at your institution?

There was a considerable range of responses to this question. Some respondents indicated that the review process has had a major impact because it may be the only way to address performance issues of librarians. Others respondents noted that their institution's review system has helped to improve overall faculty standing, assist in setting goals and delineating more clearly a supervisor's expectations, improve communication between a librarian and his or her supervisor or library director, provide powerful evidence to support the belief that librarians are performing at an exceptional level, and help librarians and faculty maintain a high level of achievement and productivity. Respondents also reported that the adoption of a post-tenure review policy has resulted in retirement of faculty or the resignation of faculty prior to submitting to a post-tenure review process. This is consistent with other reports on the outcomes of implementing post-tenure review. On the other hand, many respondents noted that it is too early to tell whether post-tenure review has had an impact yet at their institutions, since many post-tenure review policies are new or still in the development phase. However, one respondent described post-tenure review as a hollow process that may have the unintended consequence of reducing the authority of middle managers and department heads.

22. What would make the post-tenure or post-continuing appointment review process more effective at your institution?

Respondents provided many ideas for the improvement of post-tenure review at their institutions. These suggestions include the development of clearer procedures, a more elaborate description of criteria, and the addition of an award system, so that a post-tenure or post-continuing appointment review process would become a way to recognize and reward satisfactory or excellent performance rather than appear what it is believed to be: a purely punitive system. Many respondents noted that it is too early to tell what might increase the effectiveness of post-tenure review at their institutions.

Additional Comments

There were few additional comments, but one respondent indicated again that their policy is too new to make any claims about its effectiveness. One respondent strongly indicated the importance of post-tenure review at that institution and that it is an integral part of faculty appointment, reappointment, promotion, and tenure. Another respondent indicated two key factors in the development and implementation of a post-tenure or post-continuing appointment review process: that it be comprehensive without placing an unreasonable burden on either the faculty member or librarian being reviewed or the body charged with conducting the review process and, secondly, that there be latitude for departments, schools, and libraries to develop a post-tenure review implementation plan that fits the unique needs of the discipline and the organizational unit in terms of performance standards and criteria.

Responding Institutions

University of Alabama
Arizona State University
Auburn University
University of California–Irvine
University of California–Los Angeles
University of California–Riverside
Canada Institute for Scientific and Technical Information
Case Western Reserve University
Center for Research Libraries
Colorado State University
University of Connecticut
Cornell University
University of Florida
Georgetown University
University of Georgia
Georgia Tech
University of Hawaii
Indiana University
University of Iowa
Iowa State University
Johns Hopkins University
Kent State University
University of Kentucky
Laval University
University of Manitoba
University of Massachusetts
Massachusetts Institute of Technology
University of Michigan
University of Missouri
National Library of Canada
North Carolina State University
Northwestern University
Oklahoma State University
University of Oregon
University of Pennsylvania
Pennsylvania State University
Purdue University
Rice University
University of Rochester
University of Saskatchewan
Smithsonian Institution
University of South Carolina
University of Tennessee
University of Texas
Texas A&M University
Texas Tech University
Tulane University
Vanderbilt University
Virginia Tech
Washington University
University of Waterloo
Wayne State University
University of Western Ontario
University of Wisconsin
York University

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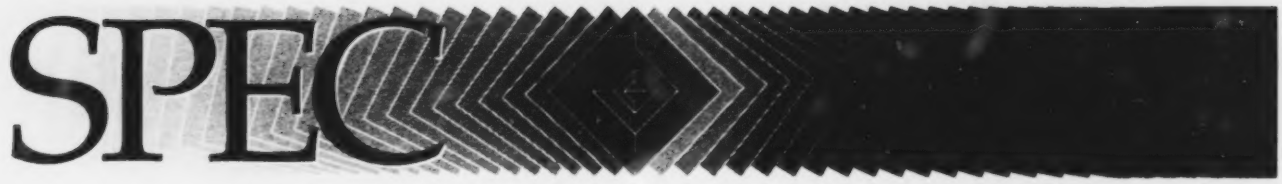

Representative Documents

SPEC Kit 261
Post-Tenure Review

Tenure and Continuing Appointment Policies

COLORADO STATE UNIVERSITY - ACADEMIC FACULTY AND ADMINISTRATIVE PROFESSIONAL MANUAL

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http://www.colostate.edu/Orgs/FacultyCouncil/sectione.htm#E.10

E.10 Academic Faculty Tenure Policy *(last revised June 10, 1998)*

E.10.1 Definition of Tenure

Tenure is the practice of permanent or continuous appointments for academic faculty in higher education, during which their service at a particular institution may be terminated only for (i) adequate cause demonstrated in a hearing before an appropriately selected faculty committee, (ii) under the extraordinary circumstances of a bona fide financial exigency, involving retrenchment or discontinuance of an academic program or a department of instruction, or (iii) discontinuance of a degree granting program or a department of instruction not mandated by financial exigency.

E.10.2 Rationale for Tenure

Institutions of higher education are conducted for the common good and not to further the interest of either the individual or the institution as a whole. The common good depends upon the free search for truth and its free exposition. Tenure is a means to certain ends, specifically (i) freedom of teaching, research, extension, and of extramural activities, and (ii) a sufficient degree of economic security to make the profession of university teaching attractive to men and women of ability. Academic freedom and economic security, and thus, tenure are indispensable to the success of an educational institution in fulfilling its singular obligations to its students and to society. Faculty who are threatened with loss of their positions for voicing unpopular or innovative views cannot effectively engage in the kind of open deliberation and criticism essential to a free society.

E.10.3 Administrative Responsibilities in Relation to Tenure

a. The head of the department and the faculty member on probationary status are jointly responsible for discussing, at least once annually, prior to the time for decision, the faculty member's development and fitness for the position involved and prospects for eventually acquiring tenure. The department head shall provide the faculty member and the dean of the college concerned a written summary of the evaluation at the time of the conference. (For temporary and special appointments, the termination date is specified on the appointment form.)

b. The head of the department shall make every effort to encourage and assist the faculty member to fulfill the conditions which will qualify him/her for tenure. After consulting with the departmental tenure committee, the department head shall as part of the annual evaluation inform faculty members in writing of progress toward tenure and of any perceived problems with their performance that might jeopardize their prospects for tenure.

c. The head of the department is responsible for making explicit at the time of employment to the faculty members in that unit the conditions which normally must be met for the acquisition of tenure, the procedures by which tenure is awarded, denied, terminated, or withdrawn, and the procedures by which the faculty member may challenge such decisions.

E.10.4 Policies on Conferring Tenure

a. Faculty members on a regular academic appointment with rank of assistant professor or higher shall be considered for tenure based upon evidence of capability for significant professional contributions. The necessity for any particular advanced degree as a prerequisite for tenure shall be decided upon by the eligible faculty of the department concerned. The requirement for a particular advanced degree may vary within a department depending upon the responsibilities of a specific position.

b. The decision to award tenure may be made after two years from initial appointment. However, a normal probationary period before the award of tenure is six years of continuous employment for faculty initially appointed as assistant professors, four years of employment for associate professors, and three years of employment for full professors. The total period of tenure track service prior to the granting or denial of continuous tenure is limited to seven years, including all previous tenure track service at the University with the rank of instructor or higher. Time on sabbatical leave shall be included. Since tenure is not granted to instructors, the seven-year limitation requires that instructors on regular appointment must be promoted or terminated not later than the completion of seven years of service. When a faculty member has held a temporary or special appointment as an instructor, assistant professor, associate professor, or professor at Colorado State University and is subsequently appointed to a regular faculty position, up to three years of the earlier appointments may be considered, by mutual agreement between the faculty member and the department head, as part of the probationary period. Faculty appointed as lecturers shall not acquire tenure nor shall service in this rank apply at a later date toward tenure.

c. Childbirth and care of immediate family members may be considered when determining whether the probationary period of a faculty member should be extended. The faculty member must make the request in writing to the department tenured faculty or committee thereof (the tenure committee). Such requests must be made prior to the first day of the academic year when the decision must be made. The tenure committee may recommend up to two separate extensions of the probationary period, each for a period not to exceed one year. The recommendation of the tenure committee will be forwarded to the department head/chair, the dean, and the Provost/Academic Vice President, who may recommend that the determination of the tenure committee be accepted or rejected. Such recommendation shall not be made in an arbitrary, capricious, or discriminatory manner. The final decision as to such extensions shall be made by the President. A probationary faculty member dissatisfied with a recommendation at any level has the right to appeal through formal grievance procedures.

d. Faculty members may request extension of the probationary period under the Americans with Disabilities Act (ADA). Such a request, identifying the nature of the disability, shall be made in writing to the departmental tenured faculty or committee thereof (the tenure committee) and must be shown to be necessary for purposes of reasonable accommodation. The faculty member requesting such extension also must provide evidence of protected status under ADA to the Director of the Office of Equal Opportunity (OEO), who shall verify such protected status and inform the departmental tenure committee. Requests for extension of the probationary period must be made prior to the first day of the academic year when the tenure decision must be made. If approved, each extension of the probationary period shall be limited to one year (see Sections E.6.b and E.4). Any subsequent request to the tenure committee for extension shall require reverification of the protected status by the OEO Director. Each recommendation shall be submitted to the department head, the dean, and the Provost/Academic Vice President for their recommendations. The final decision on such extension shall be made by the President.

e. Where the newly appointed faculty member has been awarded tenure at another academic institution and has the rank of associate professor or professor, he/she may be recommended for tenure immediately, in line with provisions stipulated in departmental codes. It is recommended that at least two-thirds of the eligible tenured faculty in the department involved approve

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f. Service counted as part of the probationary period for acquiring tenure at other institutions may be counted at this institution. The probationary period at this institution may extend to as much as seven years, even if the total tenure track service in the profession thereby exceeds seven years; the terms of such extension will be stated in writing at the time of initial appointment.

g. Any leave approved by the Governing Board for a period not exceeding one year shall normally count as a part of the probationary period. However, when the leave is of such a nature that the individual's development as a faculty member while on leave cannot be judged, or when the leave is for purposes other than scholarly, the tenure decision may be postponed for a period equal to the length of the leave. The relation of the leave to the individual's probationary status shall be determined and recorded prior to the leave.

h. Regular employment prior to January 1 shall at the end of the 30th day of June immediately following be counted as a full year of service. When the regular appointment begins on or after January 1, the period ending with the 30th day of June immediately following shall not count as any part of the probationary period.

i. Service without tenure shall apply toward sabbatical leave and all other faculty benefits and privileges.

j. The foregoing regulations apply to administrative personnel who hold academic rank, but only in their capacity as faculty members. When a faculty member holding an administrative appointment for which additional compensation is provided either relinquishes or is relieved of administrative responsibility, salary may be reduced to properly conform with his or her non-administrative responsibility, upon recommendation of appropriate administrative officers and with the approval of the Governing Board. Where an administrator alleges that a consideration violative of academic freedom significantly contributed to a decision to terminate his/her appointment to an administrative post, or not to reappoint the individual, he/she is entitled to use of the procedures set forth in Section K.

CRITERIA AND STANDARDS
REAPPOINTMENT, PROMOTION AND TENURE

UNIVERSITY LIBRARIES
COLORADO STATE UNIVERSITY

Approved by the Libraries Tenured Faculty
March 18, 1998

I. INTRODUCTION

This document is in compliance with Section E of the Academic Faculty & Administrative Professional Manual. Faculty should consult Section E of the Manual and the Libraries Faculty Code in addition to the Criteria.

A. THE ROLE OF LIBRARY FACULTY IN A UNIVERSITY

The American Association of University Professors and the Association of College and Research Libraries have jointly stated:

> "All members of the academic community are likely to become increasingly dependent on skilled professional guidance in the acquisition and use of library resources as the forms and numbers of these resources multiply, scholarly materials appear in more languages, bibliographical system become more complicated, and the library technology grows increasingly sophisticated. The librarian who provides such guidance plays a major role in the learning process. ...university librarians share the professional concerns of faculty members. Academic freedom, for example, is indispensable to librarians, because they are trustees of knowledge with the responsibility of insuring the availability of information and ideas no matter how controversial, so that teachers may freely teach and students may freely learn. Moreover, as members of the academic community, librarians should have latitude in the exercise of their professional judgment within the library, a share in shaping policy within the institution, and adequate opportunities for professional development and appropriate reward. (AAUP Bulletin, Winter 1973, p. 434)"

B. MISSION OF THE LIBRARIES AT COLORADO STATE UNIVERSITY

The primary mission of Colorado State University Libraries is to participate in the University community's discovery, communication, and use of knowledge by providing materials, information and other services to support instruction, research and scholarship. Its further mission is to serve as a resource for Colorado residents in supplementing individual, business, cultural, educational, governmental, or professional information requirements. A secondary mission is to share resources with the national and international higher education community.

The Libraries at Colorado State University strengthen the University's abilities to disseminate and apply knowledge by providing research collections and instructional support. Librarians make this contribution as faculty members sharing professional responsibilities with their academic colleagues. In contrast to most faculty members at Colorado State University, Libraries faculty hold a twelve-month service appointment. As do other faculty, Libraries faculty engage in scholarly and service activities appropriate to their discipline. Faculty are normally hired at the Assistant Professor level and enter the tenure track. Granting of tenure to Libraries faculty normally follows or coincides with promotion to Associate Professor. Tenure is granted to those faculty whose professional record indicates that they will continue to serve with distinction.

IOWA STATE UNIVERSITY

Faculty Handbook

Policies and Procedures

Fall 1999

Evaluation and Review

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  - Position Responsibility Statement
  - Joint Appointment
- Evaluation of Department Executive Officers
- Evaluation of College and Central Administrators

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Promotion and Tenure

Approved by Faculty Senate (3/24/98)
Approved by the General Faculty (5/1/98)
Incorporating editing and revisions as approved by
Faculty Senate Executive Board (9/18/98)
Approved by the Faculty Senate (10/13/98)
Approved by University Administration - Provost and President (11/2/98)
Approved by Board of Regents (12/3/98)

Note: In this document the term "department" is understood to include any academic unit designated as a "school."

General Policies on Tenure

Academic freedom is the freedom to discuss all relevant matters in the classroom, to explore all avenues of scholarship, research, and creative expression and to speak or write as a public citizen without institutional discipline or restraint. Academic responsibility implies the faithful performance of academic duties and obligations, the recognition of the demands of the scholarly enterprise, and the candor to make it clear that the individual is not speaking for the institution in matters of public interest.

Tenure is the keystone for academic freedom; it is essential for safeguarding the right of free expression and for encouraging risk-taking inquiry at the frontiers of knowledge. Both tenure and academic freedom are part of an implicit social compact, which recognizes that tenure serves important public purposes and benefits society. The public is best served when faculty are free to teach, conduct research, provide extension/ professional practice services, and engage in institutional service without fear of reprisal or without compromising the pursuit of knowledge and/or the creative process.

In return, faculty have the responsibility of furthering high-quality programs of research, teaching, and extension/professional practice, and are fully accountable for their performance of these responsibilities. Additionally, a well-designed tenure system attracts capable and highly qualified individuals as faculty members, strengthens institutional stability by enhancing faculty members' institutional loyalty, and encourages academic excellence by retaining and rewarding the most meritorious people. Tenure and promotion imply selectivity and choice; they are granted for scholarly and professional merit. The length and intensity of the review leading to the granting of tenure ensures the retention of only productive faculty; periodic performance reviews ensure the continuance of a commitment to excellence.

The system of academic tenure at Iowa State University emphasizes (1) recruitment of the most highly qualified candidates available, (2) creation of an opportunity for scholarly performance in teaching, research/creative activity, and extension/professional practice, (3) continuing evaluation of performance on the basis of areas of responsibilities in the employment agreement, and (4) the positive evaluation of performance resulting in the award of tenure. The awarding of tenure requires an affirmative decision, based upon an explicit judgment of qualifications resulting from continuous evaluation of the faculty member during the probationary period in light of the applicable criteria.

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After the award of tenure, faculty members undergo annual reviews and, as appropriate, reviews for promotion. A tenured faculty member may be dismissed only for adequate cause as defined in the section "Faculty Dismissal Procedures." Denial of faculty appointment or reappointment, or removal or suspension from office, or censure, or other penalty must not be based upon any belief, expression, or conduct protected by law or by the principles of academic freedom.

Affirmative action and tenure are compatible concepts. Both seek to ensure the hiring and retention of those who are most qualified. In the appointment process, affirmative action operates to ensure that the most qualified available person is identified and is offered the opportunity to join the faculty. After the initial appointment, the affirmative action program ensures that irrelevant considerations, such as race and gender, play no role in tenure, promotion, and salary decisions.

Eligibility for Tenure. All regular full-time continuous A- or B-base appointments to the rank of instructor or higher accrue rights to tenure. Tenure is associated with the faculty appointment in an academic department.

Tenure accompanies appointment to the rank of associate professor or professor unless a probationary period for the new appointee is clearly specified in advance, or unless it is indicated that the appointment does not carry tenure. The latter is used rarely and is limited to instances of term appointments of a special nature or character. For initial appointments at the rank of associate professor or professor without immediate tenure, the departmental recommendation as to tenure specifies the length of the probationary period.

After the awarding of tenure, the appointment is continuous. Except for resignation, retirement, or death of the faculty member, such appointments are terminable only for adequate cause.

http://library.lib.ttu.edu/ola/Status%20document.htm

Academic Status for Texas Tech University Librarians and Archivists

Proposal
Approved by
Librarians and Archivists
May 28, 1993

TTU Academic Status
Approved by
Texas Tech University
Board of Regents
October 14, 1994

Revised
December 1997

Academic Status for Texas Tech University Librarians and Archivists

Preface

On October 14, 1994, the Texas Tech University Board of Regents approved academic status for librarians and archivists at Texas Tech University Libraries. The following information is taken from the original proposal in an effort to define the scope, purpose, and impact of academic status for librarians and archivists.

Introduction

Librarians and archivists participate with faculty to promote effective utilization and development of knowledge. Complementing each other and frequently working in partnership, faculty, librarians, and archivists are close collaborators in the academic enterprise. TTU librarians and archivists have academic status, which aligns them more closely to the faculty model. Central to this model is a system of career development based on incremental accomplishments which culminate in a high level of professional maturity and contribution. The promotion of librarians and archivists to senior ranks depends on enhanced mastery of their discipline within a position, rather than changing job assignments.

Background

The Association of College and Research Libraries (ACRL), in 1971, approved a document entitled "Standards for Faculty Status for College and University Librarians" and urged all institutions of higher education and their governing bodies to grant faculty status to their librarians. In 1974, a "Joint Statement on Faculty Status of College and University Librarians" was approved by a committee of ACRL, the Association of American Colleges, and the American Association of University Professors. In both statements librarians accept the rules, regulations, procedures, and benefits of the teaching faculty in a strict sense. A central paragraph in the Joint Statement is very clear about this:

> Faculty status entails for librarians the same rights and responsibilities as for other members of the faculty. They should have corresponding entitlement to rank, promotion, tenure, compensation, leaves, and research funds. They must go through the same process of evaluation and meet the same standards as other faculty members.[1]

DeBoer and Culotta studied the many surveys done in the 1980's concerning faculty status in academic libraries. Although the ACRL Standards and Joint Statement seems to clearly define faculty status for librarians, DeBoer and Culotta were struck by the great variation among survey responses. They concluded that "part of the reason for the divergence lies in the differences in interpretation of terms. Some writers separated faculty status from academic status, and some did not."[2] Surveys which combined faculty and academic status include the following:

DePew[3]	almost 79% of academic librarians have some sort of faculty status
Tassin[4]	80% of the librarians in a survey of 35 state universities in the southwestern United S faculty status or equivalency
Benedict[5]	72% of 188 academic libraries in New York State had faculty status
Lowry[6]	An ACRL survey of 89 ARL libraries indicates that 46% have faculty status, 34% ha academic status, and 20% have professional status.

Surveys which defined faculty status in a stricter sense (full faculty status) include the following:

C&RL News Survey[7]	30% of ARL libraries and 34% of other university libraries had faculty status.
Byerly[8]	25% of 44 Ohio colleges and universities surveyed provided librarians "with all of th of teaching faculty."
Mitchell[9]	36% of 138 college and research library directors stated that their librarians had facult equivalent to that of teaching faculty.
Rayman[10]	35% of ARL libraries provided faculty status.
Horn[11]	48% of ARL libraries provided faculty status.
English[12]	46% of ARL libraries provided faculty status.

Based on these surveys, it may be safe to state that something like 40% of American academic librarians have full faculty status, another 40% have some kind of modified faculty status, and the remaining 20% have a status within their institutions that bears little resemblance to that of the faculty. Texas libraries mirror the national spectrum, with Texas A&M being the best example of full faculty status.

Recognizing that full faculty status will never be the norm for all academic libraries, the ACRL Academic Status Committee recently drafted "ACRL Guidelines for Academic Status for College and University Libraries," which was approved by the ACRL Board at the 1990 American Library Association (ALA) Midwinter Meeting. The intent of the new Guidelines is stated in an introductory paragraph:

> For those institutions which have not yet achieved faculty rank, status, and tenure for academic librarians, ACRL has developed the guidelines for academic status listed below to ensure that the rights, privileges and responsibilities of librarians in all institutional settings continue to reflect that these professionals are an integral part of the academic mission of the institutions in which they serve.[13]

Texas Tech University librarians and archivists met collectively on several occasions during the spring and summer of 1990 in order to reach a consensus on the improvements in status needed for Texas Tech University Librarians. In a nearly unanimous vote, they decided upon a modified form of

faculty status similar to that described in the new ACRL Guidelines for Academic Status. A detailed status proposal was drafted by an elected committee of librarians and archivists, and an amended document was approved by a majority of librarians and archivists on May 28, 1993.

The eleven sections that follow are those that are covered in the ACRL Guidelines for Academic Status documents. Each section begins with the complete text from the ACRL Guideline and concludes with the present status at TTU. This document applies only to librarians and archivists in the University Library and Southwest Collection/Special Collections.

1. Professional Responsibilities

ACRL Guideline

> Librarians should be assigned general responsibilities within their particular area of competence. They should have maximum latitude in fulfilling these responsibilities. Their performance of these responsibilities should be regularly and vigorously reviewed by committees of their peers as well as by supervisory personnel. Review standards should be published and uniformly applied; reviewing bodies should have access to all appropriate documentation.

TTU Academic Status

Peer review will be an integral part of decisions involving continuing appointments, promotions, and retention (see #2,#4, #5, #10 below). All evaluation criteria should be peer-established.

2. Library Governance

ACRL Guideline

> Librarians should participate in the development of policies and procedures for the library, and in the hiring, review, retention, and continuing appointment processes for their peers.

TTU Academic Status

There should be peer involvement in continuing appointment, promotion, and retention decisions. It is important that collegiality be an on-going feature of library governance.

3. University Governance

ACRL Guideline

> Because the library exists to support the teaching and research functions of the institution, librarians should participate in the development of the institution's educational policy, have a role in curricular planning, and be a part of the institution's governance structure.

TTU Academic Status

Librarians and archivists need to have an active role in the academic life of the institution, and the University administration and Faculty Senate are urged to consider them for a variety of committee and task force appointments. TTU librarians and archivists should be voting members of the Faculty Senate.

4. Contracts

ACRL Guideline

> A librarian's appointment should be by written contract, agreement, or letter of appointment of no less than one year in duration. The appointment document should state the terms and conditions of service and grant security of employment for the contractual period. After a probationary period of no longer than seven years and through a process which includes peer review, librarians should be granted continuing employment if they have met the appropriate conditions and standards.

TTU Academic Status

Before the end of a six-year probationary period at TTU, a librarian or archivist must be notified in writing either that a continuing appointment has been awarded, with all conditions and standards met, or that the appointment will not be renewed at the end of the seventh year. Continuing appointments will be modeled after the Tenure Policy expressed in the most current edition of the *Texas Tech University Faculty Handbook*, but with library-developed standards and procedures. Continuing appointments involve an extensive peer review. (See #10 below for dismissal and non-reappointment.)

5. Promotions

ACRL Guideline

> Librarians should be promoted through ranks on the basis of their professional proficiency and effectiveness. A peer review system should be an integral part of procedures for promotion and decisions on salary increases. The librarians' promotion ladder should have equivalent titles and ranks as that of the faculty.

TTU Academic Status

Academic and professional reputations will be acknowledged by promotion through the following ranks:

> Assistant Librarian or Assistant Archivist
> Associate Librarian or Associate Archivist
> Librarian or Archivist

It is important that a distinction be maintained between the position description, which is independent from the individual holding the job, and the rank which the individual is granted due to his or her job performance, professional accomplishments, and academic achievement. A procedure of peer review is an integral part of decisions involving promotion through ranks.

Determination of initial ranks and continuing appointment for current TTU librarians and archivists will be made by the Dean of Libraries and approved by the Board of Regents according to the procedures detailed in Appendix A.6.

6. Compensation

ACRL Guideline

> The salary scale and benefits for librarians should be the same as for other academic categories with equivalent education, experience, or responsibility.

TTU Academic Status

A. The following pay grades are established for librarians and archivists:

> Assistant Librarian/Archivist pay grade 26
> Associate Librarian/Archivist pay grade 28
> Librarian/Archivist pay grade 30

If a librarian or archivist receives a promotion, the new salary will be either the base for the new rank or a five-percent increase over the current salary, whichever is greater. Promotions are effective on the first day of the next fiscal year.

B. Librarians, archivists, and their family members will be eligible for resident tuition.

7. Leaves

ACRL Guideline

> University and library administrations should provide leaves of absence, sabbaticals, and other means of administrative support to promote the active participation of librarians in research and other professional activities.

TTU Academic Status

A. TTU librarians and archivists will be eligible for campus development leaves.

B. Within the Libraries, librarians and archivists will be eligible to apply for brief periods of professional development leave (see Appendix B).

8. Research and Development Funds

ACRL Guideline

> Librarians should be eligible for research funds within the University, and they should be encouraged to apply for such funds from sources outside the University.

TTU Academic Status

Librarians and archivists will be able to apply for funding of research projects and professional development on the same basis as faculty.

9. Academic Freedom

ACRL Guideline

> Librarians are entitled to the protection of academic freedom as set forth in the 1940 Statement of Principles on Academic Freedom and Tenure of the American Association of University Professors.

TTU Academic Status

TTU librarians and archivists should have the same academic freedom as that accorded faculty, including provision for a continuing appointment analogous to tenure.

10. Dismissal or Non-reappointment

ACRL Guideline

> Dismissal of librarians during the terms of appointment may be effected by the institution only for just cause and through academic due process. Non-reappointment should involve adequate notice, peer review, and access to a grievance procedure.

TTU Academic Status

A. If there is justifiable cause for dismissal during the appointment period, there will be due process, adequate notice (see Appendix A.2), and access to a grievance procedure involving peer review (see Appendix C).

B. Non-reappointment during the 6-year probationary period will involve adequate notice (see Appendix A.2), and access to a grievance procedure involving peer review (see Appendix C).

C. After continuing appointment is granted, termination will only be for adequate cause with the burden of proof on the University (see Appendix A.2).

11. Grievance

ACRL Status

> Grievance procedures should be accessible to librarians and should include steps to be completed within specified time limits, effective safeguards against reprisal by the institution, or abuse of the procedures by the grievant, and must be consistent with applicable institutional regulations and contracts.

TTU Academic Status

Grievances relating to admission to continuing appointment, grounds for termination, termination procedure, and notice of non-reappointment or termination will follow the TTU faculty model (see Appendix A.2). Other grievances also will follow the TTU faculty model (see Appendix C).

References

[1] Joint Committee on College Library Problems, "Joint Statement on Faculty Status of College and University Librarians," *AAUP Bulletin* (Summer 1973): 266-267.

[2] Kee DeBoer and Wendy Culotta, "The Academic Librarian and Faculty Status in the 1980s: A Survey of the Literature," *College & Research Libraries* 48 (May 1987): 31-39.

[3] John N. DePew, "The ACRL Standards for Faculty Status: Panacea or Placebo?" *College & Research Libraries* 44 (November 1983): 407-13.

[4] Anthony G. Tassin, "Faculty Status for Librarians: Progress and Perplex," *LLA Bulletin* 47 (Fall 1984): 83-86.

[5] Marjorie A. Benedict, Jacquelyn A. Gavaryck, and Hanan C. Selvin, "Status of Academic Librarians in New York State," *College & Research Libraries* 44 (Jan. 1983): 12-19.

[6] Charles B. Lowry, "The Status of Faculty Status for Academic Librarians: A Twenty-year Perspective," *College & Research Libraries* 54 (Mar. 1993): 163-172.

[7] "Academic Status Survey," *College & Research Libraries News* 12 (June 1981): 171.

[8] Greg Byerly, "The Faculty Status of Academic Libraries in Ohio," *College & Research Libraries* 41 (Sept. 1980): 422-29.

[9] W. Bede Mitchell and L. Stanislave Swieszkowski, "Publication Requirements and Tenure Approval Rates: An Issue for Academic Librarians," *College & Research Libraries* 46 (May 1985): 249-55.

[10] Ronald Rayman and Frank William Goudy, "Research and Publication Requirements in University Libraries," *College & Research Libraries* 41 (Jan. 1980): 43-48.

[11] Judy Horn, "Peer Review for Librarians and Its Applications in ARL Libraries," in *Academic Libraries: Myths and Realities* (Chicago: Association of College and Research Libraries, 1984), p. 125-40.

[12] Thomas G. English, "Librarian Status in the Eighty-Nine U.S. Academic Institutions of the Association of Research Libraries: 1982," *College & Research Libraries* 44 (May 1983): 199-211.

[13] ACRL Academic Status Committee, "ACRL Guidelines for Academic Status for College and University Libraries," *College & Research Libraries News* 51 (March 1990): 245-246.

http://library.lib.ttu.edu/ola/Status%20document.htm

Appendix A.2

APPOINTMENT POLICY

I. CONCEPT AND PURPOSE OF CONTINUING APPOINTMENT

Academic freedom through continuing appointment will ensure that librarians and archivists can pursue their commitment to providing access to information and ideas representing all points of view. Current and historical issues must be made available for this generation and for those that follow. Librarians and archivists are committed to resisting the abridgment of free expression and free access to information. It is, therefore, crucial that librarians and archivists be assured the right of academic freedom for themselves.

II. TYPES OF APPOINTMENT

Members of the library staff who are employed full-time and who hold the rank of assistant librarian, assistant archivist, associate librarian, associate archivist, librarian, or archivist are eligible for continuing appointment consideration.

III. ADMISSION TO CONTINUING APPOINTMENT

A. The terms and conditions of every appointment shall be stated in writing and shall be in the possession of both the University and the librarian or archivist before the appointment is completed. Probationary librarians or archivists should review the established standards and procedures for consideration for continuing appointment which are available in the Office of Library Administration.

B. A librarian or archivist must complete a reasonable probationary period before acquiring continuing appointment in the University. In exceptional cases, associate librarians or associate archivists and librarians or archivists may have their initial appointment in the University with continuing appointment when the traditional review procedure set forth in III.E precedes the appointment.

C. The maximum probationary period for admission to continuing appointment is the same for all eligible ranks. Before the end of a six-year probationary period at Texas Tech University, an assistant librarian or archivist, associate librarian or archivist, librarian or archivist must be notified in writing either that continuing appointment has been granted or that the appointment will not be renewed at the end of the seventh year.

D. Determination of the maximum probationary period for admission to continuing appointment is subject to the following guidelines:

1. Computation of the maximum probationary period begins upon the initial appointment of a librarian or archivist to a continuing appointment-eligible rank and is not affected by promotions made during that period.

2. All time accrued in full-time service at Texas Tech University in a continuing appointment-eligible rank will be counted in the probationary period.

3. Continuing appointment may be awarded prior to completion of the full probationary term. A librarian or archivist, at his or her request, may be considered for continuing appointment prior to completion of the full probationary period without prejudice for later reconsideration.

E. Primary responsibility for evaluation of the qualifications of candidates for continuing appointment rests with the library. Four sequential levels exist in the continuing appointment review process: (1) evaluations by the Library Promotion and Continuing Appointment Committee and the Associate Director; (2) review by the Dean of Libraries; (3) review by the Provost ; and (4) review by the President. The President makes recommendations for continuing appointment to the Board of Regents.

Tenure Criteria

http://www.colostate.edu/Orgs/FacultyCouncil/sectione.htm#E.11

E.11 Performance Expectations for Tenure, Promotion, and Merit Salary Increases *(last revised June 10, 1998)*

All faculty being considered for tenure and/or promotion must demonstrate a level of excellence appropriate to the rank under consideration and consistent with the standards of their discipline, their unit's institutional mission, and the faculty member's individual effort distribution in teaching and advising, research and other creative activity, and service and/or outreach.

Annual and periodic comprehensive reviews of faculty members' performance are addressed in C.2.5 and E.12, and the expectations articulated in this section are applicable to those reviews. The basis for annual and periodic comprehensive reviews will be the criteria in place at the beginning of the review period. All faculty will provide evidence of teaching and advising competence, sustained research and other creative activity, and service and/or outreach for annual and periodic comprehensive reviews as well as for tenure and promotion. The department code shall establish clearly articulated criteria and standards for evaluation in these areas.

E.12 Definitions and Indicators for Performance Expectations for Tenure, Promotion and Merit Salary Increase *(Last revised May 9, 1999)*

E.12.1 Teaching and Advising *(last reviesed June 14, 2000)*

Teaching involves the systematic transmission of knowledge and skills and the creation of opportunities for learning; advising facilitates student academic and professional development. As part of its mission, the University is dedicated to undergraduate, graduate, professional, and continuing education locally, nationally, and internationally.

Teaching includes but is not limited to classroom and/or laboratory instruction; individual tutoring; supervision and instruction of student researchers; clinical teaching; field work supervision and training; preparation and supervision of teaching assistants; service learning; outreach; and other activities that organize and disseminate knowledge. Faculty supervision or guidance of students in recognized academic pursuits that do not confer any University credit also is considered teaching. Associated teaching activities include class preparation; grading; laboratory or equipment maintenance; preparation and funding of proposals to improve instruction; attendance at workshops on teaching improvement; and planning of curricula and courses of study. Outreach activities such as service learning, conducting workshops, seminars, and consultations, and the preparation of educational materials for those purposes, should be considered as teaching. Scholarly inquiry, essential for maintaining currency and competency in a given field, is also an aspect of teaching.

Excellent teachers are characterized by their command of subject matter; logical organization material and presentation of course material; forming interrelationship among fields of knowledge; energy and enthusiasm; availability to help students outside of class; arousing curiosity, creativity, and critical thought; engaging students in the learning process; providing clear grading criteria; responding respectfully to student questions and ideas.

Evaluation of teaching effectiveness should be designed to highlight strengths, identify deficiencies, and improve teaching. Evaluation of teaching effectiveness shall involve multiple sources of information such as course syllabi; signed peer evaluations; examples of course improvements; development of new courses and teaching techniques; integration of service learning; appropriate surveys of teaching effectiveness, letters, electronic mail messages, and/or other forms of written comments from current and/or former students; and assessments from conference/workshop attendees.

Advising activities include, but are not limited to, meeting with students to explain graduation requirements; giving academic advice; giving career advice or referring the student to the appropriate person for that advice; and supervision of or assistance with graduate student theses/dissertations/projects.

Effective advising of students, at both the undergraduate and graduate levels, is a vital part of the teaching-learning process. It is characterized by being available to students, keeping appointments, providing accurate and appropriate advice, and providing knowledgeable guidance.

Evaluation of advising effectiveness can be based upon signed evaluations from current and/or former students, faculty, and professional peers.

The faculty in each academic unit shall develop specific criteria and standards for evaluation and methods for evaluating teaching and advising effectiveness and shall evaluate teaching and advising as part of annual and periodic comprehensive reviews. These criteria, standards, and methods shall be incorporated into departmental codes.

E.12.2 Research and Other Creative Activity

Research is the discovery and development of knowledge; other creative activity is original or imaginative accomplishment. Research and other creative activity include but are not limited to publications; exhibitions, presentations or performances; copyrighted, patented and licensed works and inventions; supervision of or assistance with graduate student theses/dissertations and undergraduate research; and the award of funding to support research and other creative activities.

The criteria for evaluating the original or imaginative nature of research and other creative activities should be the generally accepted standards prevailing in the applicable discipline or professional area. Standards for determining quality will vary among disciplines and should be specified by each academic unit. However, evaluations should be based primarily upon the quality of the product as judged by peers. Some measures of quality are the prestige of the journals in which publications appear, reviews of publications in the critical literature, reviews of artistic performance by recognized experts, prizes and other awards for significant professional accomplishment, and grants obtained in open competition. When work is a collaborative effort, every attempt should be made to assess the value of the contribution of the faculty member. Some categories of publication or other accomplishments, such as Extension publications, more properly are regarded as vehicles for teaching or outreach; however, these may be considered evidence of other creative activity to the extent that new ideas and research are incorporated.

E.12.3 Service and/or Outreach

Service advances the interests of the institution and the professions. Outreach advances the capabilities of constituents outside the University and offers knowledge, skills, and advice to the local, state, national, and international community.

E.12.3.1 University Service

In academic institutions the faculty shares in the formulation of University policies and in making and carrying out decisions affecting the educational and scholarly life of the University. University service includes but is not limited to contributions to the governance and leadership of the University through participation in the formulation and implementation of department/college/university policies via membership on committees, councils, and advisory groups and participation in administrative activities. University service also includes advising student organizations.

University service is evaluated through timely and effective participation in such activities related to academic matters. Senior faculty should undertake greater service roles based upon their experience, but junior faculty should be encouraged to participate in these activities to contribute new perspectives, develop expertise, and further the mission of the University.

Service in local, state, national, or international professional organizations enhances the University's scholarly and academic reputations. Service in professional organizations includes but is not limited to editorial activities for professional publications; service as an officer or committee member of a professional society; participating in or organizing research conferences, workshops or professional meetings; reviewing grant proposals; and service on academic review or accreditation boards.

Professional service is evaluated through the amount and quality of participation which contribute to the long-term improvement of teaching, scholarship, and the profession.

E.12.3.3 Outreach

Outreach is public service essential to fulfilling the academic mission of the University to the external community. It involves education and information transfer activities for constituencies typically not traditional students. Outreach includes but is not limited to presentations, workshops or training sessions; professional consultation; service on local, state, national, or international commissions, advisory boards, corporate boards, or agencies; assisting in program development in grades K-12; participation in a professional capacity in programs sponsored by student, faculty, or community groups; participation in distance and continuing education instructional activities including those in an organizational or advisory capacity for University programs; technology transfer and non credit lectures to groups; and public relations activities that serve the University's interests such as appearances as a University representative before government bodies or citizen groups, and responding to inquiries from citizens. Service rendered in one's professional capacity as a citizen of the community is commendable and can be evaluated as an appropriate faculty activity.

Outreach is evaluated through the amount, quality, and effectiveness of service to the external community.

E.13 Advancement in Rank (Promotion) *(Last revised May 5, 1999)*

Except in unusual circumstances noted in the statement of reasons given for the promotion recommendation, when tenure is granted to an assistant professor, the individual will be promoted concurrently to associate professor.

Faculty are normally eligible for consideration for promotion from associate professor to professor after five years in rank. Advancement from associate professor to professor may occur prior to five years in rank in those cases in which the faculty member's performance clearly exceeds the standards for promotion to professor established pursuant to the performance expectations stipulated in Section E.11.

Service at other academic institutions may or may not count toward time in rank. The appointment letter shall stipulate whether or not service at other institutions will count towards time in rank at Colorado State University. The department head and dean are responsible for apprising the candidate of this possibility.

E.13.1 Origin and Processing of Recommendations

The head of the department shall initiate the process leading to a recommendation for the granting or denial of promotion. Because promotion is primarily a faculty responsibility, the department head shall ask the promotion committee to vote by ballot to grant or deny promotion to the faculty member being considered. A promotion recommendation shall be by a majority vote of the promotion committee. The promotion committee shall consist of the tenured department faculty of higher rank than the faculty member under consideration or a duly elected committee thereof. If a committee of at least three tenured faculty of higher rank cannot be constituted, the promotion committee shall include all tenured faculty of higher rank and as many additional department member/s elected from the tenured faculty as are necessary to constitute a three-member promotion committee. If the promotion committee cannot be constituted in either of these ways, the eligible faculty of the department shall develop procedures for promotion decisions. The recommendation shall include a vote summary and a statement of reasons representing the majority and minority points of view.

After a recommendation is received from the promotion committee, the head of the department, dean of the college, or Provost/Academic Vice President shall reverse a recommendation only for compelling reasons that shall be stated in writing to the faculty member and the recommending body. In the event of disapproval, the recommendation of the promotion committee shall be submitted to higher administrative levels for consideration at those levels.

In the event of a faculty vote to deny promotion or a reversal by an administrative officer of a recommendation to grant promotion, the recommendation of the committee shall be made available promptly to the faculty member under consideration. If the faculty member believes that an administrator's decision to recommend denial of promotion violated University policy, he or she may appeal the decision through the grievance procedure. If a promotion committee's recommendation to deny promotion is reversed by an administrative officer, the committee may appeal the decision through the grievance procedure.

When the department head is under consideration for promotion, the promotion committee's recommendation shall be reported to the dean of the college and to the Provost/Academic Vice President, who shall reverse the recommendation only for compelling reasons that shall be in writing. In any grievance proceedings, the department will be represented by a member of the promotion committee selected by the prevailing side of the committee.

E.13.2 Notification of Board Action on Advancement in Rank

When the Governing Board has passed upon a recommendation relating to promotion for a faculty member, the Secretary of the Board shall notify the faculty member immediately in writing of the action taken. The Governing Board and President should, on questions of faculty status as in other matters where the faculty has primary responsibility, concur with the faculty judgment except in rare instances and for compelling reasons which shall be stated in writing.

II. GENERAL AND SPECIFIC CRITERIA FOR EVALUATING LIBRARIES FACULTY FOR PROMOTION, REAPPOINTMENT, AND TENURE

Factors used to evaluate Libraries faculty are those of the discipline. These factors recognize that librarianship is a multifaceted discipline, that libraries are cooperative enterprises, and that successful academic librarianship requires continuing acquisition and application of professional and extra-disciplinary knowledge.

A. GENERAL CRITERIA

1. General criteria for evaluating Libraries faculty for reappointment, promotion, tenure, and post-tenure review are the (1) practice of librarianship (2) research and creative contributions, and (3) service/outreach. Specific criteria related to the three general criteria are listed below. The lists are not inclusive.

2. A faculty member's effort distribution is negotiated with the appropriate coordinator/assistant dean and should be stated clearly in writing, as it will be used as the framework for annual and periodic comprehensive reviews as well as for tenure and promotion decisions. Because of the applied nature of the discipline of librarianship, activities within librarianship typically account for 75% of total effort, research/creative activities for 15%, and service/outreach for 10%. Normally, responsibilities for pre-tenure faculty should be set at these percentages to provide sufficient opportunity to demonstrate merit and promise for excellence in each area of faculty responsibility. After tenure, these percentages may differ depending on assignment or opportunities, such as a research grant, but should approach the typical distribution over a two to three year period in order to ensure equity of effort throughout the Libraries.

B. SPECIFIC CRITERIA

1. Practice of Librarianship

In keeping with the multifaceted nature of their discipline, Libraries faculty engage in a broad spectrum of activities. Libraries faculty are specialists in providing access to information and are involved in development of resources, collections and information systems; bibliographic control and organization; instruction, reference and advisory services; and administration and planning. The practice of librarianship takes place in a variety of settings. For an individual faculty member, the practice of librarianship may or may not involve management assignments, public contact, classroom instruction, etc.

a. Activities encompassed in the term "Practice of Librarianship" include but are not limited to:
   - providing intellectual and physical access to information in the research and instructional collections of the Libraries and other information repositories and resources
   - furthering the teaching and research missions of the University through administrative, managerial, development and supervisory activities
   - improving instruction through integration of information resources into the curriculum, development and application of technological innovations,

development of curricular support, new courses, or other related work
- interacting with library users at all levels; developing and maintaining communication and interaction with other members of the University community
- formulating and implementing Libraries' policies and procedures related to the instructional mission of the Libraries and the University
- managing human resources; developing and training effective faculty and staff
- managing material and financial resources
- conducting individual or group instruction; delivering course-related lectures external to the Libraries
- teaching or participating in teaching regularly scheduled credit courses
- serving as a major thesis or dissertation advisor, or as member of a thesis committee
- developing the Libraries' collections in support of the University's research and instructional missions, such as recommendations for purchase, identification of special acquisition opportunities, and/or attraction of gifts
- mentoring/advising students or libraries faculty.

b. Measures by which the Practice of Librarianship is evaluated

Evidence considered in evaluating the Practice of Librarianship includes, but is not limited to the record of annual supervisory evaluations; assessments by colleagues or other individuals who may have observed the candidate's performance; and/or receipt of awards.

2. Research and Creative Activities

Librarianship has a profile of scholarly endeavor that is particular to itself. That profile is appropriately acknowledged in the evaluation of Libraries faculty achievements.

Progress in library and information science results from development of new principles and application of existing ones to professional theory and practice. The product of theoretical and applied research may appear in publications authored by separately named individuals or emanating from groups. The product of theoretical and applied research may also be communicated through unpublished papers, presentations and reports to professional organizations, documents and correspondence in electronic formats, and other vehicles for dissemination of scholarship. Evaluation of a contribution is based on its value to the discipline rather than on the vehicle in which it appears.

Much of the advancement of librarianship depends on formal cooperative efforts. Scholarly activities conducted within professional organizational contexts often do not result in individual dissemination of results. In librarianship, participation in cooperative scholarship is acknowledged as requiring application of knowledge and expertise equivalent to that demonstrated in individual research and publication. Libraries faculty advance and develop in their profession through substantive participation in professional associations. Such participation may

result in a joint product such as a standard or guidelines for the field. These products are vital to librarianship and to the ability of the University to provide library service. The particular nature of a collective intellectual contribution is evaluated individually for each Libraries faculty member and corroborated by peer review from within and outside the University.

Because librarianship does not exist in isolation from the community which it serves, but rather co-exists with and contributes to all disciplines, scholarly endeavors of Libraries faculty reflect this symbiosis, and often cross disciplinary boundaries.

a. Activities encompassed by the term "Research and Creative Activity" include, but are not limited to:
   - conducting research and engaging in other scholarly activity that may result in published work and that benefits librarianship or scholarship in any discipline. Contributions include, but are not limited to: books, monographs, articles in journals, chapters in books, essays in encyclopedias, papers in proceedings, position papers, technical reports, abstracts, book reviews and reviews of creative activities
   - developing and introducing significant innovations with respect to library collections, services or methods
   - receiving grant or contract funds, research awards, fellowships and scholarships
   - editing journals or performing other editorial work of a scholarly nature
   - presenting papers at international, national, regional, state or local conferences and meetings
   - producing creative work related to the discipline or specialty, such as films, tapes, exhibits, reports, compositions, audiovisual material, computer programs, and/or web pages.
   - actively pursuing academic degrees additional to the terminal degree

b. Measures by which Research and Creative Activity is evaluated

   Evidence considered in evaluating Research and Creative Activity includes but is not limited to the record of contributions in the areas listed above as reflected in the annual written evaluation and report of professional activities, and in the *Curriculum Vitae*; copies of publications, papers, grant applications, etc; photographs or catalogs of exhibits; published reviews; letters of evaluation from professional associates within and outside the Libraries and the University community; indications of role and standing of bodies through which scholarly contributions are made; honors or awards received; critical acclaim or citation by other professionals; and other indications of professional recognition. It is the responsibility of the individual faculty member to demonstrate impact on the profession for a specific research or creative activity.

3. Service and/or Outreach

Creation and implementation of programs, standards and guidelines that strengthen the position of the University Libraries in regional, national and international information systems, further the teaching and research missions of

the University, and extend the Libraries' teaching function to the community are essential to academic libraries. They require coordination and consensus within the discipline as a whole. Within librarianship, such coordination and consensus are developed and maintained mainly within professional organizations and related associations. Participation in such organizations is a primary vehicle for fulfillment of the service involvement that is expected of Libraries faculty. Consequently, it is necessary and appropriate for Libraries faculty to place more emphasis on the area of Service than is the case for most other academic departments. As is the case for other faculty throughout the University, Libraries faculty are also expected to perform service oriented activities within the University and their Department.

Outreach is defined as public service essential to fulfilling the academic mission of the University to the external community. Outreach involves education and information transfer activities for constituents typically not traditional students. It includes advancing the capabilities of constituents outside the University and offering knowledge, skills, and advice to the local, state, national, and international community.

a. Activities encompassed by the term "Service/Outreach" include but are not limited to:
   - providing service to the profession through effective participation in international, national, regional, state or local professional associations
   - advancing theory and practice of librarianship by providing leadership in international, national, regional, state, or local professional associations
   - providing service to the profession such as editorship of newsletters, and/or review of manuscripts
   - attracting and recruiting talented and effective faculty to the Libraries/University through activities such as serving on a search committee
   - conceiving, planning, organizing or conducting professional conferences, professional seminars, workshops or programs
   - performing service within the University through effective participation in committees and other programs which address its goals
   - appraising grant proposals, fellowship applications or other awards
   - serving on local, state, national, or international commissions, boards, or agencies
   - participating in a professional capacity in programs sponsored by student, faculty or community groups
   - participating in distance and continuing education instructional activities
   - performing public relations activities that serve the University's interests

b. Measures by which Service/Outreach are evaluated

   Evidence considered in evaluating Service/Outreach includes but is not limited to the record of contributions in the areas listed above as reflected in the annual written evaluation and report of professional activities and in the *Curriculum Vitae*; indications of the role and standing of the organizations served; letters of evaluation from professional associates within and outside the Libraries and the University community; awards received; and indications of one's professional standing.

Standards for Promotion and Tenure

Introduction. Iowa State University is a public land-grant institution where liberal and professional education is merged with basic and applied research in pursuit of advancing society's potentials and assisting in solving its problems. The university serves the people of Iowa, the nation, and the world through its interrelated programs of teaching, research/creative activities, and extension/professional practice.

Evaluation of a faculty member for promotion and/or tenure is based primarily on evidence of scholarship in the faculty member's teaching, research/creative activities, and/or extension/professional practice. In all areas of professional activity, a faculty member is expected to uphold the values and follow the guidelines in the Statement of Professional Ethics found in "Professional Policies and Procedures."

A key tool in the promotion and tenure review process is the position responsibility statement, which describes the individual's current position responsibilities and activities in the following areas: (1) teaching, (2) research/creative activities, (3) extension/ professional practice, and (4) institutional service. This statement is used by all evaluators to interpret the extent, balance, and scope of the faculty member's scholarly achievements.

The following sections define and provide examples of scholarship and the four central areas of faculty responsibilities and activities.

Scholarship. All tenured and probationary faculty members are expected to engage in scholarship in their teaching, research/creative activities, and extension/professional practice. Scholarship is creative, systematic, rational inquiry into a topic and the honest, forthright application or exposition of conclusions drawn from that inquiry. It builds on existing knowledge and employs critical analysis and judgment to enhance understanding. Scholarship is the umbrella under which research falls, but research is just one form of scholarship. Scholarship also encompasses creative activities, teaching, and extension/professional practice.

Scholarship results in a product that is shared with others and is subject to the criticism of individuals qualified to judge the product. This product may take the form of a book, journal article, critical review, annotated bibliography, lecture, review of existing research on a topic, or speech synthesizing the thinking on a topic. Also falling under the umbrella of scholarship are original materials designed for use with the computer; inventions on which patents are obtained; codes and standards; art exhibits by teacher-artists; musical concerts with original scores; novels, essays, short stories, poems; and scholarly articles published in non-research based periodicals, newspapers, and other publications; etc. In short, scholarship includes materials that are generally called "intellectual property."

Scholarship generally implies that one has a solid foundation in the professional field addressed and is current with developments in that field. However, it must be noted that significant advances sometimes accrue when a scholar extends her or his scope of topics beyond those traditional to a particular discipline.

The following Table 1 describes the broad continuum of scholarship. It is adapted from Conrad J. Weiser, "The Value of a University--Rethinking Scholarship," draft version; and Ernest L. Boyer, *Scholarship Reconsidered--Priorities of the Professoriate* (Princeton, New York, The Carnegie Foundation for the Advancement of Teaching, 1990).

Table 1. The Nature of Scholarship

Character of scholarship	Audiences for scholarship	Means of communicating scholarship	Criteria for validating scholarship	Means of documenting scholarship
Develops and communicates new understanding and insights. Generates, synthesizes, interprets, critically analyzes, and communicates new knowledge, methods, understandings, technologies, materials, uses, insights, beauty and so forth.	Peers, undergraduate students, graduate students, post-doctoral associates, users, patrons, publics, etc.	Teaching materials and methods, classes, curricula; publications, presentations, exhibits, performances, patents, copyrights, distribution of materials or programs, etc.	Originality, significance, accuracy, replicability, scope, applicability, breadth, depth and duration of influence, persistence of influence or use, adoption by peers, impact or public benefits, etc.	Present evidence that creative intellectual work was validated by peers; communicated to peers and broader audiences; recognized, accepted, cited, adopted, or used by others. In other words, that it made a difference.

Table 1 describes the parameters to be used when judging the scholarly nature of a faculty member's achievements in all evaluation reviews.

The nature of scholarly work at a diverse university necessarily varies. In the promotion and tenure review process, however, evidence that a significant portion of a faculty member's scholarship has been documented (i.e., communicated to and validated by peers beyond the university) is required of all.

In some fields, refereed journals and monographs are the traditional media for documenting scholarship; in others, exhibitions and performances are the appropriate form. In still other fields, emerging technologies are creating (and will continue to create) entirely new media. Finally, scholarship may be validated and communicated through conference presentations and invited lectures.

Faculty also may submit evidence of scholarship that has not been documented by peers in the discipline, even though this evidence alone would not be sufficient to justify promotion and tenure. Evidence regarding both documented and undocumented scholarship provides a holistic portrayal of the candidate's scholarly work. For example, course materials in and of themselves do not constitute scholarship. However, if an individual's course materials reveal that he/she "communicates new understandings and insights" (Table 1) effectively to students or "synthesizes, interprets, and communicates new knowledge" (Table 1) for students, this material may be submitted as supporting evidence of scholarship, even though it may not have been communicated to peers outside the university.

Scholarship often requires teamwork and other collaborative relationships, particularly because of the growth of interdisciplinary and collaborative programs. When work that is a result of joint effort is presented as evidence of scholarship, clarification of the candidate's role in the joint effort must be provided.

In the promotion and tenure review process, the emphasis is on the critical evaluation of the scholarly nature of the candidate's achievements by professional peers, including peers external to the university. Evidence should be presented as to the impact of the scholarship in terms of its depth, duration, and/or persistence of influence or use (e.g., citations, adaptations or use by others), as well as its public and critical appreciation. Table 1 provides the framework for the evaluation.

Areas of Position Responsibilities and Activities. In carrying out their responsibilities and activities, faculty will support the university's commitment to diversity by fostering an environment of mutual respect.

The following paragraphs provide examples of activities that may be documented in each area of faculty responsibility as well as methods by which scholarship within these areas is communicated and evaluated. Teaching, research/creative activities, and extension/professional practice are central to the mission of Iowa State University. Institutional service is an important contribution that faculty members make to ensure effective governance at all levels of the university.

Teaching. Most faculty have significant teaching responsibilities, and the quality of their teaching is a major factor in evaluating their accomplishments and performances. Teaching is a scholarly and dynamic endeavor and covers a broad range of activities. Some examples of teaching activities include the following:

- presenting resident credit courses, extension and international programs and courses, non-credit seminars and workshops, and continuing-education and distance-learning programs
- directing undergraduate and graduate projects, internships, theses, and dissertations
- serving on masters and doctoral committees
- advising and mentoring undergraduate students, graduate students, and post-doctoral associates

Particular expressions of effective teaching vary widely, and teachers may demonstrate their pedagogical skills in a variety of ways. Some may display their pedagogical abilities in organized lectures, others may promote collaborative learning or may improvise in the classroom in response to the dynamics of a specific group, while still others may be adept in facilitating group discussion.

When teaching is part of the faculty assignment, effectiveness is an essential criterion for advancement. Faculty must demonstrate command of their subject matter, continuous growth in the subject field, and an ability to create and maintain instructional environments to promote student learning.

Examples of activities that provide evidence of a faculty member's particular commitment to effective teaching include the following:

- contributions to curricular development, including collaborative courses and programs and service on curriculum committees
- pedagogical innovation, including the incorporation of new technologies and approaches to learning and assessment
- documented study of curricular and pedagogical issues, and incorporation of this information into the classrooms
- development of teaching materials
- pedagogically oriented research
- involvement in student research projects
- contributions to professional societies and organizations that seek to improve teaching
- commitment to advising, which will include knowledge about curricular and extracurricular matters as well as an ability to aid students in using university resources

A portfolio format is used to document faculty teaching activities beyond what is contained in the candidate's vita. The faculty portfolio includes materials such as teaching philosophy, student ratings of teaching, teaching materials and forms of assessment, peer evaluations based on both classroom observations and review of teaching materials, and evidence of student learning.

The effectiveness of the candidate's teaching activities is determined by evaluating the character of the scholarship of these activities using the criteria described in the scholarship section and in Table 1.

The scholarship resulting from teaching is documented through such means as peer-reviewed publications, textbooks, videos, software, workbooks, lab manuals, invited lectures and conference papers. Evaluation of scholarship in teaching considers its originality, significance, and/or impact as evidenced by its influence, use, or adoption by peers. While production of teaching materials and surveys of student attitudes about classes are valuable indicators of the scholarship of teaching, peer evaluation of both a faculty member's and her/his students' performances in classes and in subsequent coursework are also appropriate assessments. Such assessments of performance need not be published or disseminated to publics outside the university.

Research /Creative Activities. Faculty members who engage in research/creative activities are expected to make original contributions that are appropriate to their chosen area of specialization and that are respected by peers within and outside the university.

Some examples of research/creative activity include the following:

- conduct of experimental research
- creative performance or exhibition
- conceptualizing and theorizing in an original way
- synthesis, criticism, and clarification of extant knowledge and research
- innovative collection or analysis of empirical data
- seeking and obtaining competitive grants and contracts
- relating research to the solution of practical problems
- leadership in professional societies or organizations

A portfolio format is used to document faculty research/creative activities beyond what is contained in the candidate's vita. The faculty portfolio includes materials such as summaries of completed, current, and future research projects; descriptions of applied use of research; summaries of grants, patents, and inventions; exhibition catalogs and other non-juried creative works.

The effectiveness of the candidate's research/creative activities is determined by evaluating the character of the scholarship of these activities using the criteria described in the scholarship section and in Table 1.

Scholarship resulting from research/creative activities is documented through means appropriate to the specialty, such as peer-reviewed publications, lectures, performances, exhibits, invited lectures, conference papers. Evaluation of scholarship considers its impact as judged by its influence, use, or adoption by peers; its originality, richness, breadth and/or depth of expression.

Extension/Professional Practice. Extension/professional practice distinguishes Iowa State as a land-grant university. Faculty members may engage in extension/professional practice activities by utilizing their professional expertise to disseminate information outside of the traditional classroom to help improve the knowledge and skills of their clientele (i.e., the publics they serve) or the environment in which they live and work. This work should be related to the faculty member's position responsibilities.

Examples of activities that fall within extension/professional practice include the following:

- organizing/leading workshops or training sessions
- engaging in clinical and diagnostic practice
- acquiring, organizing, and interpreting information resources
- engaging in technology transfer
- consulting
- serving on agencies or boards because of individual expertise
- serving as a referee for journals, books, grants, exhibitions, etc.
- serving as an editor for a journal or serving on editorial boards
- leadership in professional societies or organizations

Since extension/professional practice activities vary greatly among departments, it is the responsibility of each department to identify faculty activities that fall under this category and the appropriate evaluation methods.

Faculty who engage in extension/professional practice are knowledgeable about current research and new developments in their discipline and demonstrate an ability to interpret and apply this knowledge to meet their clients' requirements. When appropriate, they develop and maintain professional relationships with their clientele in order to identify and serve their needs. They display leadership and initiative, are creative in the practical application of knowledge, and demonstrate a high level of disciplinary expertise as well as the ability to instruct, inform, and assist clients. In addition, a faculty member's professional practice reputation may be reflected by leadership in professional societies and organizations or by significant editorial-related activities.

A portfolio format is used to document faculty extension/professional practice activities beyond what is contained in the candidate's vita. The faculty portfolio includes materials such as descriptions of appointment responsibilities in extension/professional practice, representative workshop, seminar, and training materials; book reviews; unpublished reports, studies, etc.; newsletters and brochures; peer evaluations or ratings of extension/professional practice effectiveness; and client assessments.

The effectiveness of the candidate's extension/professional practice activities is determined by evaluating the character of the scholarship of these activities using the criteria described in the scholarship section and in Table 1. The scholarship resulting from extension/professional practice activities is documented through means appropriate to the professional specialty, such as peer-reviewed publications, lectures, videos, software, hardware, workbooks, manuals, standards, bibliographies, book reviews, and casebooks. Evaluation of scholarship should consider breadth, depth, and duration of influence or use; public appreciation and benefit; and applicability or adoption by peers.

Institutional Service. Faculty members are expected to play a vital role in the functioning of the university at all levels by participating effectively in faculty governance and in the formulation of department, college, and/or university policies; or by carrying out administrative responsibilities. Therefore, to be promoted and/or tenured, faculty members are expected to have been involved in institutional service. The level and amount of service are expected to be higher for those seeking promotion to the rank of professor. However, institutional service alone shall not serve as the central basis for promotion and/or tenure. As citizens of the university, faculty members may also make other direct and indirect contributions to their departments, colleges, and university communities.

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Policy HR23 PROMOTION AND TENURE PROCEDURES AND REGULATIONS

POLICY'S INITIAL DATE: July 1, 1952
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II. CRITERIA FOR PROMOTION AND TENURE

RELATIONSHIP OF MISSION AND STRUCTURE TO CRITERIA:

Promotion and tenure decisions are based on the academic judgments of faculty and academic administrators. The general criteria or principles outlined here must be applied to promotion and tenure decisions in light of a detailed knowledge of the specific goals of an academic program or organizational unit (e.g., department, college, and the University Libraries) and the specific qualities and competencies of the individual. The University's complex organization and multiple missions make these academic judgments vital, since no one set of criteria can apply equally to all faculty members in all programs. Likewise, such diversity within the University entails promotion and tenure arrangements specifically tailored to the mission and organizational structure of its various academic units (e.g., department, college, and University Libraries).

ACADEMIC EXCELLENCE:

Recognizing the University's manifold responsibilities, however, should not diminish the central importance of teaching and scholarly activity, both understood in their broadest sense, in the academic decision-making process. In tenure and promotion decisions, as in other areas of choice, the University best serves itself and society by affirming the primacy of academic excellence in all of its functions.

EXPECTATIONS AND STANDARDS OF EACH UNIT:

An important part of the whole tenure and review process for faculty members is that all parties to the process share common expectations and understandings. Since general statements of principles will be broad and inclusive, each academic unit may

develop its own specific expectations and standards as the operational basis for tenure and promotion recommendations. Knowledge concerning these expectations and standards should be generally available, especially to newly appointed faculty members.

Candidates may include either a narrative statement at the front of the dossier that indicates their sense of their teaching ability and effectiveness, research, creative accomplishments and scholarship, and service to the University and the public, or separate statements in the relevant sections of the dossier describing the same items.

The review process for tenure and promotion is concerned with the academic and professional merits of particular candidates, judged in reference to all alternative candidates, including prospective faculty members. Tenure and promotion standards, therefore, cannot be fixed and absolute, but will reflect to some extent the varying competitive positions of the University in attracting faculty. Accordingly, evaluations will be influenced by such considerations of relative standing. Likewise, progressively more exacting scrutiny will take place as the faculty member advances in academic rank.

CHANGING NEEDS AND PRIORITIES:

Although the tenure and promotion process is geared, narrowly and properly, to evaluating individual performance, the changing needs and priorities of the institution may also affect the decision to grant tenure or award promotion. Both equity and the long-range interests of the institution, however, require directing primary attention to University needs and priorities at the time of appointment and careful intermediate and longer range academic personnel planning.

GENERAL CRITERIA:

The raison d'etre of the University is the discovery, synthesis, transmission, and application of knowledge. In light of these several goals, research and scholarship, teaching and service are the central criteria for the evaluation of faculty.

Promotion and tenure decisions shall be based on these three criteria, which must be applied in light of the mission of the academic unit and the professional responsibilities carried by the faculty member. The criteria have purposely been made general in the expectation of further definition and elaboration by each academic unit.

1. Teaching Ability and Effectiveness - ability to convey subject matter to students; demonstrated competence in teaching and capacity for growth and improvement; ability to maintain academic standards, and to stimulate the interests of students in the field; effectiveness of counseling, advising and service to students.

2. Research or Creative Accomplishment and Scholarship - competence, usually demonstrated through publication, exhibition, performance, or presentation of scholarly papers, to carry out research or creative work of high quality and scholarly significance and the ability to train students in research methods and practice; evidence of thorough understanding of the field; maintenance of high levels of academic performance; recognized reputation in the subject matter field; evidence of continued professional growth and active contribution to professional organizations.

3. Service to the University, the Public, and the Profession - participation in the University, college, departmental, and unit affairs; competence in extending specialized knowledge to the University and to the public.

Promotion and tenure decisions shall be based on recognized performance and achievement in each of the several areas, as appropriate to the particular responsibilities assigned to the faculty member. The presumption is that a positive tenure decision for an assistant professor is sufficient to warrant promotion to associate professor. In an exceptional case, a decision can be made to tenure but not to promote; however, the burden would be on the committee(s) or administrator(s) who wish to separate promotion from a positive tenure decision to show why promotion is not warranted.

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PART II - TENURE AND PROMOTION REVIEW

(Taken in part from the Faculty Handbook)

A. GENERAL INFORMATION

Tenure is a principle that entitles a faculty member to continuation of his or her annual appointment until relinquishment or forfeiture of tenure or until termination of tenure for adequate cause, financial exigency, or academic program discontinuance. The burden of proof that tenure should be awarded rests with the faculty member. Tenure at the University of Tennessee, Knoxville is acquired only by positive action of the Board of Trustees, and is awarded in a particular department and any successor department in case of merger or alteration of departments. The award of tenure shifts the burden of proof concerning the faculty member's continuing appointment from the faculty member to the University.

Review Procedures

There are several sequential levels in the promotion and tenure review process. For most academic units the review includes peer review by the department, review by the department head, review by the college, and review by the University. There are a few academic units that are organized without departments, thus, in these units the review process includes peer review by the unit (e.g., University Libraries), review by the unit leader, and review by the University. All levels of review shall be concerned in some measure with both scholarly substance and quality, and procedural adequacy and equity. It is incumbent that careful professional judgment of the accomplishments, productivity, and potential of each candidate be exercised at each level of review. Initial peer review (e.g., at the department level) will focus on professional and scholarly judgments of the individual's academic work within his/her discipline. Reviews at the college level for multi-department colleges will bring broader faculty and administrative judgments to bear and will also monitor general standards of quality, equity, and adequacy of procedures used. Review at the University level will involve similar but less detailed evaluations and, in addition, will provide an essential all-University perspective. Consultation among review levels, by committees and academic administrators, should take place when there is a need to clarify differences that arise during the review process. Each department of the University should take responsibility for developing detailed review procedures, supplemental to and consonant with general University procedures, as guidelines for promotion and tenure. These procedures should be made known to prospective and current faculty members, as well as the general University community, and should reflect the organizational arrangements of each department. The evaluation of teaching effectiveness shall be based on both peer and student input.

Composition of Review Committee

When conducting the initial departmental review, only tenured faculty should make recommendations about candidates for tenure, and only faculty of higher rank than the candidate should make recommendations about promotion. These faculty constitute the departmental review committees for the respective evaluations. In unusual circumstances, e.g., insufficient numbers of tenured and higher-ranked faculty, exceptions to this provision may be permitted by the Provost and Senior Vice Chancellor for Academic Affairs on request by the department. Departments may wish to form subcommittees of their review committee that will review the candidate's file and present the case to the department review committee. In no instance should the subcommittee make a recommendation to the review committee on tenure and/or promotion of the candidate, but only present its objective data. The subcommittee will summarize the faculty discussion of the candidate's record and submit this summary and the faculty vote to the department head to become part of the candidate's file. Department heads may attend the faculty discussion; however, since the department head has an independent evaluation to make, the head should not participate in the discussion except to clarify issues and assure that proper procedure is followed.

If a department does not form a subcommittee to present the candidate's case to the faculty, as might be the case in a small department, a representative of the review committee must be selected to summarize the faculty discussion and present the summary and vote to the department head. Department review subcommittees shall consist of members of the faculty selected by procedures approved by the faculty of the department. The faculty of the department should determine the size of the review subcommittee, but in no case should a review subcommittee consist of fewer than three members. College review committees shall consist of members of the faculty selected by procedures approved by the dean of the college. A faculty member serving on the college committee should recuse himself or herself from the discussion of a colleague from his/her department and should not participate in the college committee vote on that faculty member.

Review Materials

The type of materials required for adequate review at the department and college level of a faculty member's activities in teaching, research/creative achievement, and service will vary with the academic discipline. However, those materials should consist of a dossier (described later in this manual), a current *curriculum vitae* , and any supporting materials such as sample publications, videos, recordings, or other appropriate forms of documentation. At least one set of review materials must be available for review in the department and the college. Materials forwarded to the Office of the Provost and Senior Vice Chancellor for Academic Affairs must consist of six copies of the dossier and one copy of the *curriculum vitae* . Other documentation will be requested as needed by the Office of the Provost.

Tenure and Promotion Criteria Statements

Role of the Department in Elaborating General Criteria

All candidates for promotion and tenure shall be evaluated according to three general criteria which should be further defined and elaborated by each department. The three general criteria are:

- Teaching ability and effectiveness;[1]
- Research, creative achievement, and scholarship;
- Service to the University, the public, and the profession.

[1]In the case of the University Libraries, the first criterion is performance of duties outlined in the job description.

Academic administrators, with appropriate faculty participation, must develop a written statement of criteria and expectations that elaborates on the three general criteria and is consistent with the mission of the department and the professional responsibilities normally carried by faculty members in the department. Such written statements must be prepared for:

- Each academic department (the department may elect to use the college statement);
- Each college.

A statement defining the responsibilities of the faculty member shall appear in the front of a candidate's dossier. It is recommended that the department head, or appropriate administrator, write, in the third person, in consultation with the faculty member, a brief statement of responsibilities. The statement should be descriptive, not evaluative, and should clarify the areas of responsibility assigned to the faculty member in regard to the criteria used in promotion and tenure reviews. The first statement of faculty responsibilities should be developed within the first six months of employment and updated annually.

Guidelines for the Criterion of Teaching Ability and Effectiveness

1. A faculty member should provide a statement of teaching.

2. Evaluation of teaching effectiveness shall be based on self assessment, peer evaluation, and University-approved student ratings. Student ratings should not receive greater weight than self or peer assessments during faculty evaluation processes.

Role of the Provost and Senior Vice Chancellor for Academic Affairs

1. The Provost and Senior Vice Chancellor for Academic Affairs shall approve all statements of criteria and expectations.

2. The Provost and Senior Vice Chancellor for Academic Affairs shall maintain a master set of approved statements of criteria and expectations.

Dissemination of Criteria Statements

1. Deans shall ensure that faculty members are informed about the criteria and expectations that have been developed for their respective departments.

2. Deans shall ensure that a copy of the current statement of criteria and expectations for their respective departments is on file in the office of the Provost and Senior Vice Chancellor for Academic Affairs.

Post-Tenure Review Policy

E.14 Performance Reviews

All faculty are subject to annual and periodic comprehensive reviews of performance. Performance reviews are intended to assist faculty in achieving tenure or promotion, to facilitate continued professional development, to refocus professional efforts when appropriate, and to assure that faculty members are meeting their obligations to the University. These reviews must be conducted in such a way that they are consistent with the tenure system, academic freedom, due process and other protected rights.

Annual reviews are for the purpose of evaluation for merit salary increases, for providing help to faculty members to improve their performance when needed, and for the early identification and correction of perceived weaknesses and deficiencies in performance. The department head shall work with the faculty member to develop specific actions to improve performance. Departmental requirements for annual performance evaluations are

Reviews of performance must be based upon the faculty member's effort distribution in each of the areas of responsibility. Furthermore, effort distributions in areas of responsibility should be established to best utilize individual talents of all tenured faculty because similar assignment for all faculty in a department normally is not an effective use of resources. Tenured faculty members should have the opportunity to work with the department head to adjust their professional responsibilities throughout their careers in a way that allows them to meet both institutional and individual goals.

All performance reviews will be maintained in the faculty member's personnel file.

E.14.1 Comprehensive Reviews of Tenure Track Faculty

A comprehensive performance review of tenure-track faculty shall be conducted at the midpoint of the probationary period at Colorado State University. This review shall be conducted by the tenured faculty of the department or committee of such faculty as determined by the department code. The department head shall not be a member of this committee. Upon completion of the review, a written summary of the conclusions and recommendations reached by the committee shall be provided to the faculty member, the department head, the dean and the Provost/Academic Vice President. The report shall include one of the following possible outcomes:

1. the faculty member is making satisfactory progress toward tenure and promotion, and sustained progress may result in a favorable recommendation from the department;

2. there are deficiencies that, if satisfactorily corrected, may lead to a favorable recommendation for tenure; or,

3. the faculty member has not met the stated requirements for the position in one or more areas of responsibility, and the tenure committee recommends against further contract renewals.

The report shall include any written comments provided by the department head, dean and Provost/Academic Vice President, as well as the faculty member. A final comprehensive performance review is required prior to recommendations concerning tenure (see Section E.10.4).

E.14.2 Periodic Comprehensive Reviews of Tenured Faculty

E.14.2.1 Phase I Comprehensive Performance Reviews

Phase I Comprehensive Performance Reviews of all tenured faculty shall be conducted by the department head at intervals of five years following the acquisition of tenure or if there are two unsatisfactory annual reviews within a five-year review period. A Phase I Review shall be based upon a summary of all annual reviews since the last comprehensive review or the acquisition of tenure, an updated curriculum vitae, a self-analysis by the faculty members, and a statement of goals and objectives. The department head shall provide an overall assessment of the faculty member's performance. Evaluation must be based upon the faculty member's effort distribution and performance weighted in each area of responsibility (Section E.12). The evaluations should identify strengths and any deficiencies in the faculty member's performance. If a faculty member has deficiencies that, in the opinion of the department head, may be corrected without implementing a Phase II Review, the department head, in consultation with the faculty member, should prepare a specific professional development plan to assist the faculty member in meeting the departmental expectations. As part of this plan, the faculty member's effort distribution in each of these areas of responsibility may be adjusted to focus on the faculty member's interest, demonstrated performance, and needs of the department. This plan may include resources, assistance, and opportunities to be made available to the faculty member, and include a time-frame by which the department head will monitor progress toward achieving the planned goals. If the evaluation from a Phase I Comprehensive Performance Review is unsatisfactory, a Phase II Comprehensive Performance Review shall be conducted.

E.14.2.2 Phase II Comprehensive Performance Reviews

Phase II Comprehensive Performance Reviews are initiated when the department head determines that a tenured faculty member's performance was unsatisfactory in the Phase I Review. A Phase II Review Committee of at least three peers at the same or higher rank shall be selected to conduct a comprehensive performance review according to procedures in the department code. The initiation of a Phase II review is not grievable by the faculty member. This review shall be conducted by peers within the department or by a group from the same college, as determined by the department code. The department head shall not be a member of this committee.

The department code shall specify:

1. the method for selection of the peer review committee;

2. procedures assuring impartiality and lack of bias among members;

3. the criteria, including standards for evaluation which reflect the overall mission of the department, as well as permitting sufficient flexibility to accommodate faculty with differing responsibilities and effort distributions;

4. the types of information to be submitted by the faculty member; and

5. any additional information to be used in evaluations such as peer evaluations and student opinions of teaching.

As a result of Phase II Reviews, a majority of the committee must decide on one of four possible outcomes. No further actions are necessary if:

1. the faculty member has met the reasonable expectations for faculty performance, as identified by his or her department; or

2. the deficiencies are not judged to be substantial and chronic or recurrent.

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Further action is required if:

1. there are substantial and chronic or recurrent deficiencies that must be remedied; or

2. the committee concludes that the conditions set forth in Section E.10.7 appear to be present.

In cases where deficiencies are found that, in the opinion of the peer review committee, must be remedied, the department head and faculty member will design a professional development plan indicating how these deficiencies are to be remedied and set time-lines for accomplishing each element of the plan. Such development plans must be approved by the dean of the college. In the event that conditions set forth in Section E.10.7 are present, the committee will recommend the initiation of procedures which may result in possible sanctions up to and including tenure revocation. For each outcome, the committee shall provide the faculty member with a written summary of the review, and the faculty member shall have a reasonable opportunity, as defined in the departmental code, to prepare a written response to the summary. Both the review and the faculty member's response shall be forwarded to the department head, and at successive steps, to the dean, and the Provost/Academic Vice President. Recommendations of the department head and dean will be sent concurrently to the faculty member. The Provost/Academic Vice President shall make the final decision regarding action.

E.14.3 Grievance

The Faculty member shall have recourse to the provisions in Section K, except where otherwise prohibited (e.g., Section E.10.7), once an adverse recommendation is made in any performance review. Any adverse recommendation or decision made by an administrator as a result of a Phase II Review may be the basis for complaint under Section K.

Post Tenure Review Policy

Approved by Faculty Senate (3/23/99)
Approved by Faculty Vote (4/30/99)
Approved by Board of Regents (6/16/99)

Faculty in each department are charged with developing and implementing a plan for review of each tenured faculty member in the unit. Such review should be done periodically, at least once every seven years. The review should address the quality of the faculty member's performance in the areas of teaching, research/creative activities, extension/professional practice, and institutional service, consistent with the faculty member's position responsibility statement. Ideally, the review shall result in recommendations for enhancing performance and provide a plan for future development.

This review does not change the university's commitment to academic freedom, nor the circumstances under which tenured faculty can be dismissed from the university. Grounds for dismissal remain those listed in the *Faculty Handbook* under "Faculty Dismissal Procedures."

The plan for review should designate the following:

- the review participants
- review procedures and timelines
- materials to be reviewed
- distribution and use of the results of the review including communication beyond the department
- mechanisms for the faculty member to respond

The departmental post-tenure review plan shall be reviewed, approved, and revised in accordance with the collegiate governance approval process that applies to departmental promotion and tenure documents.

SUSTAINED PERFORMANCE EVALUATION PROGRAM

George A. Smathers Libraries

Revised January 1998

SPEP Committee Peter McKay, Chair, Pam Cenzer, Steve Fuquay, Peter Malanchuk, Ed Teague, Phek Su

I. Policy

Tenured faculty shall receive a sustained performance evaluation once every seven years following the award of tenure or their most recent promotion. The purpose of this evaluation is to document sustained performance as a tenured faculty member during the previous six years of assigned duties and to encourage continued professional growth and development. Tenured faculty with administrative appointments of chairperson and above shall not be eligible for this review until they resume faculty duties for the required six year period. Specifically, the evaluation is designed to determine if a tenured faculty member's performance is satisfactory or unsatisfactory.

II. Evaluation Guidelines

The Sustained Performance Evaluations conducted by both the individual members of the Sustained Performance Evaluation Program Committee (SPEPC) and the Chairs/Supervisors must follow the guidelines set forth in Article 10, "Employee Performance Evaluations," of the 1997/98 Collective Bargaining Agreement.

The employee annual evaluations, including the documents used to develop the annual evaluations , shall be the sole basis for sustained performance evaluation. An employee who received satisfactory annual evaluations during the previous six years shall not be rated below satisfactory in the sustained performance evaluation nor subject to a performance improvement plan.

A performance improvement plan shall be developed only for those employees whose performance is identified through the sustained performance evaluation as being consistently below satisfactory in one or more areas of assigned duties.

For either the individual members of the SPEPC or the Chair/Supervisor to make a finding that sustained performance is unsatisfactory there must be a clearly documented pattern of unsatisfactory performance of one or more assigned duties explicitly stated in the annual letters of evaluation over the six-year period of review.

The performance improvement plan shall be developed by the employee in concert with his/her supervisor, and include specific performance targets and a time period for achieving the targets. The performance improvement plan shall be approved by the President or representative [Library Director]. Specific resources in an approved performance improvement plan shall be provided by the university. The supervisor shall meet periodically with the employee to review progress toward meeting the performance targets. It is the responsibility of the employee to attain the performance targets specified in the performance improvement plan.

III. Procedure

In January each year tenured library faculty shall elect a Sustained Performance Evaluation Program Committee (SPEPC). The SPEPC shall be comprised of two representatives from each division – Collection Management, Public Services, and Technical Services. Representatives will serve for two years with the terms being staggered. To insure continuity the first elected committee shall have one member from each division serving a term of two years and one member from each division serving a term of one year. Thereafter, new members will be elected for two-year terms. The individual members of the SPEPC will review the documentation of tenured faculty members up for review in the respective academic year.

The Library Personnel Officer notifies individuals, department chairs and directors to prepare information for an assessment of sustained performance during the seventh year following a library faculty member's award of tenure and/or promotion.

A. By February 20, Chairs/Supervisors shall gather the library faculty member's evaluation file, consisting of a current resume, annual letters of evaluation, annual assignments and activity reports from the previous six years and submit them to the Library Personnel Officer for coordination and review by the Sustained Performance Evaluation Program Committee.

B. By April 15, the individual members of the SPEPC shall review the materials in accordance with the guidelines set forth above and be available to consult individually with the Chairs/Supervisors.

C. By May 1, the Department Chair/Supervisor shall prepare the library faculty member's Sustained Performance Evaluation in accordance with the guidelines set forth above, incorporating appraisal information gathered for the review and consulting individually with each member of the SPEPC. The evaluation shall summarize the library faculty member's overall performance during the six-year period being reviewed and rate the performance as

1) Sustained performance is satisfactory.
2) Sustained performance is below satisfactory in one or more areas of assigned duties.

D. By May 15, the library faculty member may prepare a response to the evaluation, which shall be attached to the evaluation and become part of the personnel record.

E. By June 1, the Chair/Supervisor will meet with the faculty member to review the evaluation. In addition to discussing the faculty member's Sustained Performance Evaluation report, this meeting may also serve as the end-of-the-year performance evaluation conference.

BEST COPY AVAILABLE

IV. Performance Improvement Plan

A. By June 1, a performance improvement plan shall be developed only for those employees whose performance is identified through the sustained performance evaluation as being consistently below satisfactory in one or more areas of assigned duties.

B. The performance improvement plan shall be developed by the employee in concert with his/her supervisor, and include specific performance targets and a time period for achieving the targets. The performance improvement plan shall be approved by the President or representative [Library Director]. Specific resources in an approved performance improvement plan shall be provided by the university. The supervisor shall meet periodically with the employee to review progress toward meeting the performance targets. It is the responsibility of the employee to attain the performance targets specified in the performance improvement plan.

C. Failure to meet the performance targets agreed upon could result in those actions described in Article 16 of the Collective Bargaining Agreement for in-unit faculty or the University's Rule 6C1-7.048 of the Florida Administrative Code for faculty who are not covered by the Collective Bargaining Agreement.

V. Appeal Process

In instances where the library faculty member and the Chair/Supervisor cannot agree upon the elements to be included in the performance improvement plan, the library faculty member may use the University's appeal process, which includes a review by the Director, whose decision is final.

VI. Timetable

The sustained evaluation process begins in January of each year and must be completed on or before June 15. On or before June 30 the Library Personnel Officer will prepare for the Director of Libraries a list and summarized plan for tenured library faculty who have been identified as needing improvement.

VII. Report to the Provost

On or before June 30th the Director of University Libraries will submit the list of tenured library faculty identified as needing improvement to the Provost with a brief statement of the performance improvement plans.

VIII. Responsibility

It is the responsibility of the Library Personnel Officer to oversee and coordinate the Sustained Performance Evaluation Program as directed by the Deputy Director of University Libraries.

Policy HR40 EVALUATION OF FACULTY PERFORMANCE

POLICY'S INITIAL DATE: June 18, 1986
THIS VERSION EFFECTIVE: July 1, 1999

Contents:

- Purpose
- Responsibility for Conducting Review
- Rationale
- Scope of Review

PURPOSE:

To provide for an evaluation of the performance of each member of the faculty at least once each year.

RESPONSIBILITY FOR CONDUCTING REVIEW:

Responsibility for the faculty performance evaluation review rests with the department/division heads or school directors or, where appropriate, campus executive officers and campus directors of academic affairs. Evaluations are coordinated by the appropriate administrator at the location of the faculty member's academic assignment, with input from the department or division head of the disciplinary unit.

RATIONALE:

Critical review is a natural element of a productive academic career. A faculty member's work is reviewed regularly in many different ways. Teaching is evaluated by peers and students; proposals for funding are evaluated by individual reviewers or panels of specialists; papers and books submitted for publication are reviewed by authorities in the field; published books are reviewed by other scholars; a faculty member's contributions in teaching, research and scholarship, and service are carefully scrutinized when the individual is considered for hiring or promotion.

In addition, the annual performance review is not only necessary for the process of determining merit salary increases; it also provides an occasion for self-evaluation and reassessment of the role a faculty member is playing, which may evolve significantly during the course of a career. It is an opportunity to acknowledge and recognize good work, point out areas for improvement, and, in a few cases, identify productive new uses of a faculty member's talents. It is a means of ensuring that the diverse talents of the entire faculty are productively applied to the many responsibilities of the University. In addition, performance reviews can help identify resource targets -- places where additional resources could re-energize a faculty member whose energy or morale has run low or could lift an already productive member to new levels of achievement.

SCOPE OF REVIEW:

All faculty must be reviewed annually by the appropriate administrative officer. Each review should include the faculty member's written annual report and evidence of teaching effectiveness, and may involve thorough one-on-one discussions with the administrative officer of the faculty member's teaching, research, service, future plans, assignments, and salary.

The evaluations are made by using elements listed in HR21, Definitions of Academic Rank, and HR23, Promotion and Tenure Procedures and Regulations, and are conducted in accordance with procedures developed independently within each College. Each faculty member's evaluation is related to his or her area of assignment and responsibility, with maximum weight given to the area of major emphasis in the individual's assignment. Disciplinary heads or comparable administrative officers will provide written documentation to the faculty member of the results of these reviews.

To be most effective, the review must, at least periodically (e.g., 5 years), not only deal with the previous year's performance, but also take a longer range view. General guidelines for such reviews, consistent with this policy statement, must be established

with the participation of the unit's faculty by each college or school--which may in turn ask for more precise guidelines from departments or other similar units, while keeping the responsibility of oversight.

In the event that improvements in performance are necessary, the faculty member and his or her administrative officer should work on an appropriate response, the implementation of which should be monitored by the administrative officer. Finally, a clear link must be established between the performance review and faculty rewards.

Responsibility for overseeing the implementation of HR-40 rests with the Executive Vice President and Provost.

PART IV - CUMULATIVE REVIEW OF TENURED FACULTY

(*Taken in part from the Faculty Handbook*)

A. GENERAL INFORMATION

There shall be comprehensive, formal, cumulative performance reviews of all tenured faculty members to promote faculty development and to ensure professional vitality. Cumulative reviews shall occur regularly every five years. (A promotion review shall substitute for the cumulative review if the promotion review is anticipated to occur within two years of a scheduled cumulative review. In no case shall more than seven years elapse between cumulative reviews.) A peer review of teaching may be conducted in conjunction with a cumulative review.

Cumulative reviews are based on information from the faculty member's annual reviews, information concerning his or her performance during the immediately preceding year, and any other information specified in departmental bylaws as relevant to performance expectations for the faculty member in teaching, advising, research/scholarship/creative activity, and service. Cumulative reviews are normally conducted during the Spring semester. All reports and comments on them shall be maintained in personnel files in the department, with copies provided to the dean's office.

Faculty members whose performance is found through the cumulative review process to exceed or meet expectations for rank are eligible for pay increments according to levels established by the University of Tennessee, Knoxville. A faculty member whose performance is deemed to be unsatisfactory in a single cumulative review shall be reviewed further in accordance with the provisions concerning unsatisfactory performance.

B. REVIEW MATERIALS

The materials to be used in the cumulative review of a tenured faculty member should contain at least the following:

- All materials used for the annual performance-and-planning reviews for each year since the last cumulative review;
- Review materials for the faculty member's activities in teaching, research/creative achievement, and service during the year immediately preceding the cumulative review (i.e., annual review materials for the year in which the cumulative review is conducted);
- Documentation, not included in the annual review summaries, required by college and/or department bylaws that supports the faculty member's activities since the last cumulative review;
- A current *curriculum vitae* (see Appendix D for an example).

C. REVIEW PROCESS

1. After receiving from the faculty member and departmental faculty at the same or higher rank recommendations for membership on the peer review committee, the department head shall appoint a three-person committee. One member of the peer review committee should come from outside the department, and one member shall be selected from a list submitted by the faculty member.

2. The peer review committee shall examine the relevant information and shall make an evaluation of the faculty member's performance in the categories of teaching, advising, research/scholarship/creative activity, and service.

3. The committee shall then reach an overall assessment of the faculty member's performance over the past five years, using the four categories of *exceeds expectations for rank* , *meets expectations for rank*, *needs improvement for rank*, or *unsatisfactory performance for rank* , and comment on specific strengths and weaknesses in performance. The faculty member being reviewed shall be provided the opportunity to read and comment on the evaluation by the peer review committee when

it is forwarded to the department head.

4. The report from the peer review committee is advisory to the department head, who then makes his/her own assessment and prepares a summary report according to a form developed by the campus to evaluate the faculty member's performance. The faculty member being reviewed shall be provided the opportunity to read and comment on the evaluation by the department head.

Responsibilities of the Faculty Member

The responsibilities of the faculty member include:

- Preparing the materials, which should include activities and accomplishments in teaching, research/creative achievement and service for the year immediately preceding the cumulative review;
- Reviewing for accuracy and completeness the factual records and informational material on which the cumulative review will be based;
- Reading and commenting on the evaluation by the peer review committee when it is forwarded to the department head and on the evaluation by the department head;
- Consulting with the department head to develop a written statement of area(s) needing attention, if the faculty member's performance is deemed to need improvement.

Responsibilities of the Department Head

The responsibilities of the department head include:

- Scheduling the cumulative review according to an established timetable that provides sufficient notice so that the faculty member has adequate time to prepare the required materials;
- Providing all annual review materials on which the cumulative review is based;
- Informing the faculty member of what materials must be included and the format to be used for submission of materials for the review;
- Appointing a peer review committee following consultation with the faculty member and departmental faculty at the same or higher rank;
- Providing the faculty member the opportunity to read and comment on the evaluation by the peer review committee when it is forwarded to the department head;
- Assessing the faculty member's performance after the peer review committee submits its report (the peer review committee report is advisory to the head);
- Preparing a written evaluation of the performance of the faculty member;
- Providing the faculty member the opportunity to read and comment on the evaluation by the department head;
- Providing copies of all reports and comments on the reports to the faculty member and to the dean, and maintaining copies in the faculty member's departmental files;
- Consulting with any faculty member whose performance is deemed to need improvement to develop a written statement of area(s) needing attention;
- Initiating the process described in the section Unsatisfactory Performance for any faculty member whose performance is deemed to be unsatisfactory in the cumulative review;
- Providing the dean and the Provost a list of all department faculty for whom cumulative reviews were completed during a given year. The list should include the faculty members' names, current ranks, and ratings from the cumulative reviews.

Unsatisfactory Performance

The decision to assign an unsatisfactory cumulative review rating must be supported by the record of annual reviews since the last cumulative review. A rigorous and thorough review shall be made of any faculty member whose performance is deemed to be unsatisfactory in a single cumulative review or in two consecutive annual performance-and-planning reviews.

1. A Review Committee shall be convened by the department head within thirty days of the dean's concurrence with an unsatisfactory cumulative review or a second consecutive unsatisfactory annual review, and shall be composed of the department head, tenured departmental faculty members at the same or higher rank, and faculty and administrative staff from outside the department.

2. The Review Committee shall be composed of seven members and reach its decisions by majority vote.

3. If a faculty member's performance is evaluated by the Review Committee as unsatisfactory, the department head, dean, chief academic officer, and Faculty Senate President or Faculty Senate Executive Committee shall reach consensus on one of two actions:

a. Develop with the affected faculty member a written remediation plan (e.g., skill-development leave of absence, intensive mentoring, curtailment of outside

services, change in load/ responsibilities) normally of up to one calendar year, and a means of their assessing its efficacy. At the end of the remediation period, the Review Committee, dean, chief academic officer, and Faculty Senate President or the Faculty Senate Executive Committee shall send a written report to the campus Chancellor, recommending:

(i) that the faculty member's performance is no longer unsatisfactory; or

(ii) that the Chancellor initiate proceedings to terminate the faculty member for adequate cause.

b. Recommend that the Chancellor initiate proceedings to terminate the faculty member for adequate cause.

D. FACULTY CUMULATIVE REVIEW REPORT

(Cover Sheet)

Name of faculty member:_____

Rank: _____Department: _____

Year of appointment:_____Number of years at current rank:_____

Attach a narrative addressing the strengths, weaknesses, and areas of concern based on the faculty member's responsibilities consistent with the bylaws of the department, college, and university.

Overall rating of the faculty member's performance:

[ ] Exceeds expectations for rank

[ ] Meets expectations for rank

[ ] Needs improvement for rank

[ ] Unsatisfactory performance for rank

Signature of department head:_____Date:_____

*Signature of faculty member: _____Date:_____

Signature of dean:_____Date:_____

*The faculty member's signature acknowledges receipt of the review document and does not necessarily indicate the faculty member's agreement with its content.

The department head must give a copy of this completed cover sheet and all attachments to the faculty member reviewed.

E. PEER CUMULATIVE REVIEW REPORT

(Cover Sheet)

Name of faculty member:_____

Rank: _____Department: _____

Year of appointment:_____Number of years at current rank:_____

Attach a narrative addressing the strengths, weaknesses, and areas of concern based on the faculty member's responsibilities consistent with the bylaws of the department, college, and university.

Overall rating of the faculty member's performance:

[ ] Exceeds expectations for rank

[ ] Meets expectations for rank

[ ] Needs improvement for rank

[ ] Unsatisfactory performance for rank

Signature of Peer Review Committee Member:_____Date:_____

Signature of Peer Review Committee Member:_____Date:_____

Signature of Peer Review Committee Member:_____Date:_____

*Signature of faculty member:_____Date:_____

* The faculty member's signature acknowledges receipt of the review document and does not necessarily indicate the faculty member's agreement with its content.

The department head must give a copy of this review summary to the faculty member reviewed.

TEXAS A&M UNIVERSITY RULE ON POST-TENURE REVIEW

APPENDIX

STATEMENT OF FACULTY SENATE

POST-TENURE REVIEW POLICY

OCTOBER 14, 1996

Among Texas public universities, Texas A&M University takes pride in having a unique set of missions. Established as a Land Grant institution to serve the educational, research, and public service needs of Texas in the areas of agriculture and engineering, Texas A&M University has since been designated a Sea Grant and a Space Grant institution, and its areas of scholarship have been greatly expanded. It is guided by the multiple synergistic missions of teaching, research, and public service.

The quality of a university's teaching, research, and public service can be no greater than the quality of mind and expertise that the faculty brings to those missions. Indeed, in the faculty lies the talent, commitment, wisdom, knowledge, and intellectual courage required to push forward the boundaries of knowledge, make important discoveries, bring them to classroom and laboratory, and apply them to the benefit of society. Consequently it is in the best interest of the university to create an environment in which these academic pursuits can flourish, and to invest in faculty development

activities that enhance the success of a faculty vitally engaged in teaching, research, and service.

The faculty of Texas A&M University has always measured its performance against a high standard of excellence, which was established and is maintained by hiring the best new doctoral graduates or established professionals, and by conducting annual reviews of faculty performance. The rigor of the hiring and review process, the demands of quality teaching and student advising, the necessity and value of research, and the obligations of service to the public are clearly understood within the university community, but they may not be clear to members of the larger community whose interests we serve and whose trust we wish to maintain. Therefore the faculty takes this opportunity to further explain tenure and the tenuring process, to clarify the activities and time demands of the faculty, and to propose the post-tenure review policy that follows.

The Board of Regents of the Texas A&M University, acting in its oversight capacity, states that it is seeking through a post-tenure review policy to assure the continued productivity of tenured faculty. Many faculty members think this policy is unnecessary because present policies require annual performance reviews for all professors, which include student evaluations of teaching, and permit dismissal of a tenured professor for cause. They also believe this University offers excellent educational value, evidenced by its continuing enrollment growth, and by its excellent national reputation. The faculty would like the Board of Regents to recognize that factors affecting morale and productivity, including fair compensation, reasonable work loads, monetary rewards for superior performance, and the trust and collegial support of one's superiors, have diminished in recent years. For example, faculty salaries at Texas A&M University are presently 10% below those at the University of Texas.

In the academic community, tenure has traditionally meant that a faculty member has demonstrated, over a specified number of years and to the satisfaction of peers, a sufficiently high level of performance in teaching and scholarship to warrant the granting of a permanent position on a university faculty. Tenure protects academic freedom, the right of faculty members to pursue original research, or study ideas that are new, unpopular, or misunderstood. Such freedom of thought can only benefit society. Tenure has developed over hundreds of years, and forms the foundation of the modern university in Western society. Its value in encouraging new generations of scholars and sustaining the quest for knowledge should not be taken lightly.

The typical path to tenure begins with a lengthy, demanding and expensive education. The typical recipient of a doctoral degree, required by universities for most teaching positions, has spent between nine and twelve years in university study. Many have spent additional years working in their chosen fields, so the typical newly hired faculty member is often between thirty and forty years of age.

The selection process for faculty positions at Texas A&M University is highly competitive. Chosen from perhaps hundreds of applicants, the new faculty member enters the tenure track, a seven year probationary process. During the next six years he/she must teach full course loads, receive favorable evaluations of teaching from peers and students, have research published in peer-reviewed scholarly journals, or produce equivalent peer-reviewed creative work. Progress is reviewed annually by peers and department heads. In the sixth year, overall performance is reviewed by faculty peers, external reviewers from other universities or industry, department heads, deans, and ultimately by the Provost and President, who may recommend to the Board of Regents that tenure be granted. The typical tenured faculty member has by then spent fifteen to eighteen years, and often more, in reaching that status.

Of those entering the tenure track at Texas A&M University, approximately one third do not last through the probationary period. Of those who do, about one fifth are denied tenure. Thus slightly more than one-half of those hired into tenure track actually earn tenure. The rigor of this process of evaluation ensures that tenured faculty are prepared to remain a highly productive group for the balance of their careers.

A typical faculty member at a major research university devotes fifty hours per week to teaching, research, and public service, according to numerous studies. Each class hour requires at least two or three hours of preparation. Faculty spend many additional hours grading assignments and exams, holding office hours for individual student advising, and supervising graduate students.

Professors are expected to conduct research, thus engaging in scholarly and creative work which contributes to currency of knowledge, thereby improving teaching. Research provides new knowledge which advances our society's standards of living, technological development, and culture. Research is a special mission of Texas A&M University faculty, and can easily consume twenty to thirty hours per week, including evenings and weekends.

Furthermore, for the departments, colleges, and university to function efficiently and serve their constituents, professors fulfill many administrative responsibilities, and may sponsor student organizations, edit journals, hold offices in national and international organizations, and share their expertise through extension activities, many involving students, in communities throughout Texas. These service aspects of the academic life may require a considerable commitment of time. They enhance the local, national, and international reputation of the University.

Compared with other professions, academic careers involve considerable financial and personal sacrifice. Most academics receive a salary for only nine months of the year, and it is much lower than they would receive in the marketplace for their abilities. Faculty accept lower salaries for their "life of the mind," academic freedom, and the security of tenure. Society has traditionally encouraged that trade-off, and has received great economic benefit from it. Any significant diminution in either freedom or compensation for faculty will cause long-term deterioration of the professorate and ultimately the university. Worthy faculty may be forced out, and there will be a great disincentive for bright young people to enter the academic world.

Three-fourths of our peer institutions have no post-tenure review. Because we compete with these universities for new faculty, it is essential that a post-tenure review policy at Texas A&M University have positive effects. A process centered on professional development, properly carried out, could have positive effects. The following proposed policy would enable a faculty member who has fallen below performance norms to pursue a peer-coordinated professional development plan and return to expected productivity. The objective is to conserve the investment of Texas A&M University in one of its great strengths, its dedicated faculty.

This proposed faculty development centered policy will meet the objective of the Board of Regents of assuring the continued productivity of tenured faculty. The faculty proposes it in good faith, conditioned upon the Board of Regents reaffirming the principles that have guided the faculty in making this a truly great University, the foremost among them being academic freedom. Acceptance of the policy and continued commitment to these principles will mark Texas A&M University as a leader in the development and maintenance of the highest standards of education and scholarship.

http://library.lib.ttu.edu/ola/Comprehensive%20Performance%20Evaluation.htm

TEXAS TECH UNIVERSITY LIBRARIES

COMPREHENSIVE PERFORMANCE EVALUATION PROCEDURES

The Comprehensive Performance Evaluation should be based on the librarian or archivist's normal work responsibilities. The standard of evaluation should be the conscientious completion of one's professional responsibilities in a position. Standards of Comprehensive Performance Evaluation are not the same as those for promotion or continuing appointment.

The timetable established for the implementation of Comprehensive Performance Evaluation allows for four rounds of evaluation in order that all librarians and archivists having a continuing appointment in 1998-99 will have been evaluated by May 1, 2003. All librarians and archivists with continuing appointment will be reviewed at least once every six years.

For the initial reviews by May 1, 2003, three groups will be constituted:

Group 1 Comprehensive Performance Evaluation Spring 2001

Group 2 Comprehensive Performance Evaluation Spring 2002

Group 3 Comprehensive Performance Evaluation Spring 2003

Librarians and archivists having continuing appointment in 1998-99 will be assigned by the Promotion and Continuing Appointment Committee to the appropriate year based on their seniority of service in a professional position within the Libraries. Those who were awarded continuing appointment at the adoption of the Status Document will be reviewed first. The Promotion and Continuing Appointment Committee will ensure that librarians and archivists subject to review are distributed as equally as possible among the three groups.

Librarians and archivists to be evaluated must be informed no later than September 1 of the academic year in which they are to be evaluated. For the purposes of Comprehensive Performance Evaluation a separate committee of three, the Comprehensive Performance Evaluation Committee, will be established for each librarian or archivist subject to review by no later than February 1 of the academic year of the review. Each committee shall be composed of three people who are eligible for Comprehensive Performance Evaluation and may include faculty as well as librarians and archivists. Members will be chosen as follows:

1. One member will be selected by the supervisor(s) of the librarian or archivist subject to review.
2. One member will be selected by the librarian or archivist subject to review.
3. One member will be selected by mutual agreement of the supervisor(s) of the librarian or archivists subject to review and the librarian or archivist subject to review.

The supervisor(s) of the librarian or archivists subject to review and the librarian or archivist subject to review will not serve on the Comprehensive Performance Evaluation committee for that librarian or archivist but may serve on another librarian's or archivist's Comprehensive Performance Evaluation committee that same year.

Documentation submitted to the Comprehensive Performance Evaluation Committee covers the time period since the last post continuing appointment review or continuing appointment/promotion

review and shall consist of at least the following:

1. annual reports and evaluations for the past five years
2. a résumé
3. a statement of accomplishments by the librarian or archivist subject to review
4. a statement of assessment from the supervisor(s) of the librarian or archivist subject to review

Additional documentation may include up to three letters of recommendation, up to three statements of appreciation, and publications. References and statements of appreciation may come from within the University or other appropriate sources. All documentation taken together constitutes the Comprehensive Performance Evaluation dossier.

The Comprehensive Performance Evaluation Committee will prepare a brief report, usually one or two paragraphs, explaining the reasons for their decision. The dossier, the Comprehensive Performance Evaluation Form, and the Committee report will remain together as they are forwarded to the supervisor(s) and then to the Associate Dean and then to the Dean. The dossier, committee report, and a copy of the Comprehensive Performance Evaluation Form will be retained by the Office of Library Administration.

If the performance of a librarian or archivist is found to be unsatisfactory, the supervisor(s) and Dean will develop with the librarian or archivist a plan and timetable for improvement. These persons will negotiate the form and duration of the improvement program. A librarian or archivist receiving an unsatisfactory ranking will be reviewed during the second year following completion of the improvement program.

The librarian or archivist may attach to the Comprehensive Performance Evaluation Form a statement challenging the evaluation, and may include letters of support from outside of Texas Tech University. Any grievance proceedings resulting from the Comprehensive Performance Evaluation will follow established grievance procedures as stated by the Librarian/Archivist Status Document and University Operating Procedures.

Texas Tech University Libraries

April 1999

COMPREHENSIVE PERFORMANCE EVALUATION FORM

Libraries/Southwest Collections and Special Collections

Texas Tech University

The Committee should type complete and specific information in each category. Forward the dossier, the Comprehensive Performance Evaluation Form, and your report to the supervisor(s).

Name:_____ Department:_____

Rank/Title:_____ Date Submitted:_____

Date of awarding of continuing appointment or most recent promotion in rank:_____

Date of most recent comprehensive performance evaluation:_____

Comprehensive Performance Evaluation Committee: Please enter the findings of the committee with respect to the professional competence of the Librarian/Archivist being evaluated. The committee consisted of the following persons:_____

_____

____Satisfactory ____Unsatisfactory _____

Signature of Committee Chair Date

Supervisor(s): Please enter the finding of the supervisor(s) with respect to the professional competence of the Librarian/Archivist being evaluated.

____Satisfactory ____Unsatisfactory

_____ _____

Signature of Unit Administrator Date Signature of Unit Administrator Date

---

I have been informed of the finding made by the Comprehensive Performance Evaluation Committee and the supervisor.

_____

Signature of Librarian/Archivist Date

Associate Dean's Response:

____Librarian or Archivist is found to be performing in a professionally satisfactory manner, no action required.

____Librarian or Archivist is found to exhibit a pattern of unsatisfactory performance

_____ _____

Signature of Librarian/Archivist Date Signature of Associate Dean Date

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Dean's Response:

____Librarian or Archivist is found to be performing in a professionally satisfactory manner, no action required.

____Librarian or Archivist is found to exhibit a pattern of unsatisfactory performance. Indicate below the steps that have been taken to address the situation (may use attachment):

_____

_____

_____

_____ _____

Signature of Librarian/Archivist Date Signature of Dean Date

COMPREHENSIVE PERFORMANCE EVALUATION

STEPS TO COMPLETE

1. OLA will establish dates of eligibility for CPE by using the list indicating who has continuing appointment and the date it was granted.
2. OLA will send out letters by September 1st notifying the librarian/archivist who will come up for review. For the initial review period, PCAC will assign librarians/archivists to three groups, based on their seniority of service in a professional position within the Libraries, with those who were awarded continuing appointment at the adoption of the Status Document being reviewed first. PCAC will notify OLA of the assigned groups.
3. OLA will notify the supervisor(s) of the librarian/archivist coming up for review by September 1.
4. PCAC will each year include the following dates in the Academic Calendar:

- September 1 as the notification date for CPE
- February 1 as the date the CPE committee is named
- February 1 as the date the dossier is due to CPE Committee
- March 1 as the date the CPE Committee forwards report and dossier to the supervisor(s)
- March 15 as the date the supervisor(s) forward the report and dossier to the Associate Dean

- April 1 as the date the Associate Dean forwards the report and dossier to the Dean
- May 1 as the date the Dean reports the results of the review to the Provost

1. The supervisor(s) and the librarian/archivist will choose the CPE Committee by February 1. The supervisor(s) and librarian/archivist will confirm with the CPE Committee members that they are willing to serve. The supervisor(s) will convene the CPE Committee on February 1 or as soon as possible thereafter.

6. The CPE Committee will choose a chair and the supervisor(s) will notify OLA by means of a formal letter the names of the committee and the name of the chair. Copies of the letter will be sent to the committee members as the formal notification of their appointment to the committee.
7. The librarian/archivist completes his/her dossier by February 1 and turns it in to OLA. The dossier will include:

- Annual reports and evaluations for the past five years covering the time period since the last post continuing appointment review or continuing appointment/promotion review
- a résumé
- A statement of accomplishments by the librarian/archivist subject to review
- A statement of assessment from the supervisor(s) of the librarian/archivist subject to review
- Additional documentation may include up to three letters of recommendation, up to three statements of appreciation, and copies of works published since the last review. References and statements of appreciation may come from within the University or other appropriate sources

6. The CPE Committee will receive the dossier from OLA.
7. The CPE Committee will complete the Comprehensive Performance Evaluation Form and forward the dossier, the CPE Form, and the committee report to the supervisor(s) by March 1. The committee report will include a brief summary of the review results that gives reasons for the satisfactory or unsatisfactory evaluation.
8. The supervisor(s) will forward the dossier, the CPE Form, and the CPE Committee Report to the Associate Dean by March 15.
9. The Associate Dean will forward the dossier, the CPE Form, and the CPE Committee Report to the Dean by April 1.
10. If the review is unsatisfactory, the supervisor(s) will include a draft plan of an improvement program. The supervisor(s) and the Associate Dean will negotiate the form and duration of the improvement program with the librarian/archivist. A copy of the improvement program will be included with the material submitted to the Dean.
11. By May 15 the Dean will report the results of the review to the Provost. The complete file will be retained by OLA
12. If the librarian/archivist receives an unsatisfactory review, he/she will be reviewed during the second year following completion of the improvement program. OLA will note when that will occur and notify the librarian/archivist at the appropriate time.

POST-TENURE REVIEW POLICIES AND PROCEDURES

AND

STATEMENT OF FACULTY OBLIGATIONS AND EXPECTATIONS

UNIVERSITY LIBRARIES

Effective July 1, 1997

I. Post-Tenure Review Policies and Procedures

A. General

University policies and procedures relating to Unsatisfactory performance and post-tenure review are contained in section 2.9 of the Faculty Handbook. Nothing in this section should be interpreted as abridging those policies. These expectations are not intended and shall not be used to violate the principles of academic freedom nor to discourage the expression of minority opinions, dissent from professional orthodoxies, and honest and civil disagreement with administrative actions. Further, these performance guidelines are not intended to supersede standards of ethical behavior detailed in the Faculty Handbook.

During the annual evaluation of faculty, the evaluator may assign to a faculty member a rating of "Unsatisfactory". The rating of Unsatisfactory is the lowest rating that can be assigned to a faculty member and is defined to mean failure to meet the minimal expectations in the area of professional responsibilities, which comprises the majority of an individual's assigned workload (see II.C below). An Unsatisfactory rating is not intended to be automatically assigned when a faculty member's annual evaluation is among the lowest in the department. In assigning an Unsatisfactory rating, the burden rests upon the evaluator to make the case that the faculty member's performance is so seriously deficient that it fails to meet the libraries' minimal expectations.

As stipulated in section 2.9.2 of the Faculty Handbook, a faculty member who receives an Unsatisfactory rating shall be given written notification of that rating and the considerations upon which it is based. The faculty member will then be provided a reasonable opportunity to respond to the stated reasons for the Unsatisfactory rating. This response may include a written statement to be included in the faculty member's personnel file. In addition, the faculty member shall be notified in writing of specific actions that may be taken to avoid a further Unsatisfactory rating.

Faculty members have a right to review their departmental personnel file at any time, including letters or documentation of complaints contained therein which may or may not have been used in the evaluation process. If student complaints or other sensitive material are to become part of the personnel file, they should be handled in a timely manner, but one that is respectful of the rights of those involved. (Confidential letters of reference which may be contained in the file will not be released.) Faculty members have a right to respond to negative material and have their responses included in their personnel file.

Whenever a faculty member with tenure or continued appointment receives two consecutive annual evaluations of Unsatisfactory performance, a post-tenure review is mandatory. The review shall be conducted by a Post-Tenure Review Committee.

The dean informs the faculty member and post-tenure review committee that a review is in process.

B. The Post-Tenure Review Committee

The Post-Tenure Review Committee is selected as follows:

1. The Post-Tenure Review Committee shall consist of the five voting members plus the nonvoting alternate of the libraries' Promotion and Continued Appointment Committee. If the individual who assigned the Unsatisfactory rating is a member of the Promotion and Continued Appointment Committee, he/she may not serve on the Post-Tenure Review Committee. Further, no faculty member who has received two consecutive Unsatisfactory ratings shall serve on a Post-Tenure Review Committee. When a vacancy occurs on the Post-Tenure Review Committee the alternate becomes a voting member. An election is held to fill any additional vacancies.

2. The faculty of the University Libraries will vote by ballot to select candidates to fill vacancies on the Post-Tenure Review Committee. Eligibility for election to the Post-Tenure Review Committee is the same as set forth in 6.1 of the University Libraries Procedures for Promotion and Continued Appointment. All library faculty holding or eligible for continued appointment, with the exception of the Dean, may vote. Faculty members who are unable to serve due to extenuating circumstances should send a letter of explanation to the Library Faculty Association President. Vacancies on the Post-Tenure Review Committee are filled with the faculty member(s) receiving the most votes. The committee elects its own chair.

3. After a Post-Tenure Review Committee begins deliberations on a case the same committee will follow the case to its conclusion.

C. Conducting the Post-Tenure Review

The Post-Tenure Review Committee shall conduct its review in accordance with the procedures specified in Section 2.9.4 of the Faculty Handbook as follows:

> The faculty member has the both the right and the obligation to provide a dossier with all documents, materials, and statements he or she believes to be relevant and necessary for the review. Ordinarily, such a dossier would include at least the following: an up-to-date vita, the past two or more Faculty Activity Reports, teaching assessments, and a description of activities and accomplishments since the last Faculty Activity Report. The faculty member will be given a period of no less than four weeks to assemble the dossier for the committee. The head or chair will supply the review committee with the last two annual evaluations, all materials which were considered in those evaluations, any further materials deemed relevant, and other materials the committee requests. Copies of all materials supplied to the committee will be given to the faculty member. The faculty member has the right to provide a written rebuttal of evidence provided by the head or chair.
>
> The committee will weigh the faculty member's contributions to the discipline, the department and the university through teaching, research, and service. The burden of proving Unsatisfactory performance is on the university.

All recommendations of the post-tenure review committee shall be determined by majority vote. "The committee will prepare a summary of its findings and make a recommendation to the head or chair and dean, with the concurrence of the Provost" (Faculty Handbook, section 2.9.4).

Membership on the Post-Tenure Review Committee implies a responsibility to vote on the issues that come before the committee. Abstentions are not permitted.

The Post-Tenure Review Committee may find that the faculty member's performance and/or professional contributions (a) meet or surpass the Libraries' minimal expectations, or (b) do not meet the Libraries' minimal expectations. In the case of (b) the committee shall recommend either (1) a period of remediation, or (2) severe sanctions, or (3) dismissal for cause. If a severe sanction or dismissal for cause is recommended the matter is referred to the University Promotion and Continued Appointment Committee for Extra-collegiate Faculty. University policy stipulates that, following a period of remediation, the Post-Tenure Review Committee either certifies satisfactory performance, recommends dismissal for cause, or recommends that a sanction be imposed. A further period of remediation is not an option. At this stage a majority vote of the committee is sufficient to carry its recommendation.

If a faculty member is either under review by the Post-Tenure Review Committee or in a period of remediation specified by the committee, the individual may continue to be evaluated for purposes of salary increases, but further ratings of Unsatisfactory may not be assigned to that individual until the Post-Tenure Review Committee submits its final recommendation.

II. Statement of Faculty Obligations and Expectations

A. Introduction

This document outlines the minimal expectations and obligations of the tenured and continued appointment faculty of the University Libraries in the areas of Professional Responsibilities, Research and Scholarly Activities, University and Library Service, and Professional Contributions and Services Activities. The expectations included in this document, the standards of conduct and ethical behavior as stated in the Faculty Handbook and/or promulgated through other channels, and/or the statements in Section B on failure to meet minimal expectations shall provide a basis for the evaluator to assign an annual rating of Unsatisfactory to a faculty member.

An integral part of the libraries' annual evaluation of a faculty member is a consideration of the duties assigned to that faculty member. Depending on available resources, departmental needs, changing interests, and the performance of duties, the annual evaluation may result in a reassignment of duties. A reassignment of duties does not typically imply a failure to meet minimal expectations; it typically represents a workload adjustment to better utilize existing skills. It must be emphasized that an evaluation of Unsatisfactory is to be based on the performance of those duties and responsibilities that have been explicitly assigned to the faculty member.

B. Failure to Meet Minimal Expectations

A faculty member fails to meet the minimal expectations of the University Libraries if he/she either demonstrates a consistent, serious, and willful disregard of the minimum expectations, or fails, over the course of a reasonable period of time, to remedy serious and chronic deficiencies which have been identified in the performance of professional responsibilities.

C. Departmental Minimal Expectations

Each faculty member should demonstrate accomplishment and effort in the following categories annually. Faculty members differ in how they contribute to the library's mission, hence the balance of accomplishment and effort across the following categories should reflect an assignment negotiated with the evaluator. In evaluation, the points listed under Professional Responsibilities are paramount.

1. Professional Responsibilities

    a. Knowledge of the specifics of a particular job and demonstrated skill in performing that job including judgment and decision-making abilities, quality of completed work assignments, and the ability to set and accomplish appropriate performance goals.

    b. General knowledge of the profession, including trends, issues, new ideas, and technological changes in librarianship.

    c. Understanding of the policies, procedures, and services of the University Libraries, and an ability to serve the library clientele through interpretation of these policies and procedures.

    d. Demonstrated ability to work cooperatively with the library staff, colleagues and patrons to further the educational and research goals of the university.

    e. Effectiveness in the administration and supervision of a department or section of the University Libraries. Ability to train, coordinate, supervise, and evaluate personnel, and assist and delegate work in the performance of specific functions essential to the operations of the University Libraries (if the faculty member is in a supervisory position).

2. Research and Scholarly Activities as demonstrated by one or more of the following:

    a. Research as evidenced by publications.

    b. Presenting papers at professional meetings, organizing or chairing sessions at professional meetings.

    c. Teaching and/or development of instructional services, curricula, and programs.

    d. Attendance at work-related seminars and workshops, enrollment in, and completion of, continuing education courses, pursuit of additional degrees.

    e. Pursuing or receiving grants, awards, scholarships, internships, or other honors.

3. University and Library Service as demonstrated by one or more of the following:

    a. Service on university commissions, committees, or in faculty governance positions.

    b. Service on committees of the University Libraries.

    c. Participation in university sponsored seminars or conferences.

4. Professional Contributions and Services Activities as demonstrated by one or more of the following:

    a. Participation in local, state, regional, and national associations.

    b. Using professional expertise in consultative or service activities.

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Post-Tenure Review

Professional Development Plans

PROCEDURES FOR EVALUATION OF FACULTY AT UH-MĀNOA
(Revised July 1997)

4. **The review by the Department Chair.**[5] The Department Chair will review the record made available for each faculty member scheduled for evaluation. When a Department Chair is scheduled for review, the Chair of the Department Personnel Committee will conduct the review of the Department Chair. This review shall be concluded by **February 1.**

4.1 **Where no deficiencies are identified.** When the Department Chair determines that the professional activities of a faculty member being evaluated meet reasonable expectations as established by the faculty of the Department, she/he will so inform the faculty member and the Dean, and the review is concluded.

4.2 **Where deficiencies are identified.** When the Department Chair determines that the professional activities of a faculty member being evaluated do not meet the reasonable expectations as agreed to by the faculty of the Department, the Department Chair shall specify in writing the deficiencies that have been identified. If the faculty member does not contest the assessment of the Chair, the faculty member shall sign that he/she agrees with the statement of deficiencies. The faculty member, the Department Chair, and the Dean shall confer to create a Professional Development Plan which addresses the deficiencies. The final plan shall be in writing and signed by the faculty member, Department Chair, and the Dean.

The Professional Development Plan. The faculty member will confer with the Department Chair and the Dean to develop a mutually agreeable plan for addressing deficiencies which have been identified and a time frame for implementing the plan. The plan provides a means by which the faculty member can meet expectations in a systematic manner over a period of time. Each plan must include: a) identification of deficiencies, b) objectives to address the deficiencies, c) specific activities to implement the plan, d) time lines for meeting expectations, e) a process for annual progress review, and f) source of funding (if required). Faculty may consult with the Mānoa Faculty Development Committee for advice in drafting the Plan (see 6. Faculty Development Program below). The plan shall be developed by **March 31**.

Where there is disagreement over the details of the development plan. Should the faculty member, Department Chair and Dean not be able to agree on specific features of any part of a proposed plan, the issue(s) will be referred to the appropriate Vice President by the Dean by **April 15** for a determination as to which aspects of the respective proposals will constitute the approved plan. The Vice President's decision will be rendered by **May 13**.

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[5]In units that do not have a faculty member serving as Department Chair, the review is to be conducted by the Chair of the Department Personnel Committee.

Absence of a development plan. Cases in which there is failure to accept the approved plan by **May 31** will be referred to the Dean for appropriate action.[6]

4.3 **Where there is disagreement as to the finding of deficiencies.** If the faculty member does not agree with the assessment of the Department Chair, the case will be forwarded to the Dean for attempted resolution. If the Dean determines that the faculty member is meeting departmental expectations, she/he shall so state in writing, and the review process is concluded. If the Dean agrees with the Department Chair that departmental expectations are not being met, she/he shall so state in writing. If the faculty member disagrees with the Dean's decision, the question will be referred to a Mānoa Faculty Evaluation Review Committee. The Dean's review shall be concluded by **March 1**.

Mānoa Faculty Evaluation Review Committees. These committees will be established for this sole purpose of resolving disputes over whether departmental expectations are being met and what specific deficiencies, if any, exist. Each will consist of five faculty members chosen from the Mānoa Faculty Evaluation Review Panel. The Panel will consist of thirty senior faculty members from the Mānoa Faculty Personnel Panel who are broadly representative of the range of disciplines and professions to be found at Mānoa. The membership of the Mānoa Faculty Evaluation Panel shall be mutually agreed upon by the President of the University and the President of the University of Hawai'i Professional Assembly or their designees. The faculty member may exclude up to three names from the Mānoa Faculty Evaluation Review Panel prior to the selection of the committee by the Office of the Senior Vice President and Executive Vice Chancellor in consultation with the University of Hawai'i Professional Assembly. Such committees shall be formed and convened expeditiously, and their decisions rendered no later than **one month** after their convening.

The Mānoa Faculty Evaluation Review Committee will decide whether or not it concurs with the assessments of the Department Chair and the Dean that deficiencies exist. The Committee shall, if it concurs, specify the areas identified by the Department Chair in which it also finds deficiencies. If the Committee does not concur that there are deficiencies in any of the areas identified by the Department Chair, the review is concluded. The decision of the Committee will be final and binding, and will be reported to the Office of the Senior Vice President and Executive Vice Chancellor, which will in turn inform the parties concerned: the Faculty Member, the Department Chair, and the Dean.

4.4 The Dean will report to the Office of the Senior Vice President and Executive Vice Chancellor by **May 31** as to the status of the completed review.

5. **Monitoring the plan.** An annual review of progress on the plan will be conducted by the Dean, in consultation with the Department Chair and the faculty member,

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[6]Absence of a plan itself is not a deficiency, rather failure to meet established expectations constitutes the basis for appropriate action.

commencing **April 1** of each year the faculty member is on the plan. The purpose of the review is to determine whether or not the plan is on course, and, if not, what modifications must be made to meet expectations. The review will be reported on the attached form (Professional Development Plan Status Report), and sent to the Senior Vice President and Executive Vice Chancellor by **May 31**. A copy of the review should be filed in the office of the dean, with copies to the chair and the faculty member.

6. **Faculty Development Program.** The Mānoa Faculty Development Committee is composed of faculty members and/or emeriti faculty with an established record of expertise and helpfulness to their colleagues. The interaction of the Committee with faculty members is intended to be positive and supportive. All members appointed will be mutually agreed upon by the President of the University and the President of the University of Hawai'i Professional Assembly or their designees.

   The Mānoa Faculty Development Committee will assist with the development and implementation of the professional development plans. The committee: (a) provides peer review of requests to the Faculty Evaluation and Development Fund for supplemental funding for the plans approved by the chair and the dean; and (b) may, if requested, work informally with the faculty member to develop ideas and strategies for the plan previous to discussion with the chair.

   Plans developed by faculty members in consultation with the chairs of their departments, their deans, or the Mānoa Faculty Development Committee may call for a variety of activities that require special resources, e.g., leaves of various types, attendance at special workshops or institutes, assistance in the preparation of grant applications, availability of computer hardware or software or training in the use of the same, or special assistance in new approaches to teaching. Successful plans will require both initiative on the part of the faculty member and the assurance that every effort is made to provide the necessary support from out of available University resources through Departments, Colleges or Schools, and Vice Presidential Offices.

7. **Oversight and Continuing Evaluation.** Supervision of faculty evaluation and development will be provided by the Office of the Senior Vice President and Executive Vice Chancellor which will provide staff support to the Mānoa Faculty Development Committee and the Mānoa Faculty Evaluation Review Committee.

   To monitor these evaluation procedures and their implementation, and to furnish continuing direction and guidance, representatives from the University Administration and from the leadership of the University of Hawai'i Professional Assembly shall meet at least once each year, or at the call of either party.

http://www.iupui.edu/~fcouncil/documents/reviewenhance991202.htm

IUPUI Faculty/Librarian Review and Enhancement

Developed by the IUPUI Faculty Affairs Committee, June 6, 1997
Forwarded to IUPUI Faculty Council Executive Committee, June 26, 1997
Revisions: April 10 and April 21, 1998
Recommended for Approval by the Executive Committee, April 23, 1998
Approved at the IUPUI Faculty Council Meeting, May 7, 1998
Accepted by IUPUI Chancellor, July 1, 1998
Revisions Approved at the IUPUI Faculty Council Meeting, May 6, 1999
Revisions Approved at the IUPUI Faculty Council Meeting, December 2,1999

IUPUI's faculty and librarians represent its most important resource. The development and maintenance of every faculty member or librarian's professional expertise must be among the highest priorities of the institution. An overwhelming majority of faculty and librarians are professionally competent, productive, and contribute to fulfilling the mission of IUPUI. Thus, Faculty/Librarian Review and Enhancement is designed to focus on two small groups of faculty and librarians - those who seek a change in career direction or emphasis and those who are failing to meet minimum levels of performance or productivity. Faculty/Librarian Review and Enhancement provides a structure for the preparation and implementation of faculty/librarian development plans to meet the needs of these two groups of individuals.

Background to original document

In preparing this document, a subcommittee of the IUPUI Faculty Affairs Committee studied post-tenure review plans from many other institutions. Based on this study and from discussion with members of the faculty, a draft document was prepared by the subcommittee for consideration by the full committee. In consultation with William Plater, Executive Vice-Chancellor and Dean of the Faculties, the final form of the document was approved by the IUPUI Faculty Affairs Committee and forwarded to the IUPUI Faculty Council. Since that time, input has been gathered through a variety of forums. The subcommittee revised the document using this input, as well as advice from the IUPUI Library Faculty, and the policy has been approved with its current language by the IUPUI Faculty Affairs Committee.

The proposed plan is a cost-effective way of addressing the issue of the unsatisfactory performance by faculty and librarians, as well as a logical step in assisting faculty and librarians who seek a change in career direction or emphasis. However, any attempts to deal with these two groups of faculty members or librarians will fail without an adequately planned and funded faculty/librarian development program that provides both the direction-changer and the under-performer with the opportunity for new challenges through a structured faculty development plan.

Although there are many high quality faculty/librarian development offerings on campus, there have not been comprehensive mechanisms to assist faculty or librarians who request a change in career direction or a new emphasis in or balance between teaching, research, or service, in the case of faculty, or performance, professional development, and service, in the case of librarians. Similarly, little has been done to identify and revitalize the careers of faculty and librarians whose performance has been unsatisfactory or whose efforts do not translate into adequate contributions to the mission of the department, school, or university. There must be a way to link these individuals to the faculty/librarian development process. Because of the diverse needs of faculty and librarians, basic foundational programs may be required, as well as programs which are innovative and at the cutting edge of educational theory and practice. In addition, there must be coordination between faculty/librarian development at the school level and the campus level. Some subject areas can only be addressed within the context of a school or department, while others

require the scope and perspective of a campus or university-wide program. Continuous learning is expected of all faculty and librarians, but this can only happen when there are good programs and support at all of these levels.

Rights and Responsibilities

Faculty members and librarians have the responsibility to optimize and deploy their talents and expertise in a way that furthers the mission of the University, the school, and the department, as well as their own careers. Faculty and librarians must ensure that they demonstrate professional competence and that, at the least, a minimally satisfactory contribution is consistently made in all areas of faculty or librarian performance. Tenure requires mutual responsibilities and when faculty and librarians accept tenure, they also accept the obligation to grow and develop professionally, to keep current in their disciplines, and to meet the evolving needs of the University. Most faculty members and librarians meet and most exceed this standard. Prior to the tenure decision, the burden is on the faculty member/librarian to prove that tenure should be granted. However, once tenure has been earned, the burden shifts to the institution to show why the faculty member or librarian should no longer have tenure.

The University has the reciprocal responsibility to provide faculty members and librarians with the environment and resources needed for them to be as productive as possible, particularly providing strong protection for academic freedom. This includes not only meaningful faculty/librarian development programs and opportunities, but also the structure and administrative support so that faculty and librarian efforts can be seamlessly translated into achievement. In addition, administrators must be willing and able to make difficult decisions when individual faculty or librarian performance remains below minimally satisfactory levels.

Guiding Principles

- Faculty/Librarian Review and Enhancement must be clearly aimed at performance enhancement rather than designed as a punishment for performance inadequacies. The ultimate goal is to revitalize faculty members and librarians without jeopardizing academic freedom. The program should include an opportunity for faculty members or librarians to pursue new directions throughout their careers without penalty. Intermediate sanctions prior to dismissal, which have been developed at the school level with faculty input, should be sought only after all practical attempts at performance enhancement have been exhausted.

- Faculty/Librarian Review and Enhancement must recognize the diverse cultures of faculty and librarians, including the potential differences in those who are more recently hired from those who have been on the faculty or in a library for many years, those from teaching-oriented and research-oriented schools and programs, and the differences in mission of the various schools or libraries.

- Faculty/Librarian Review and Enhancement is not for purposes of programmatic change.

- For faculty, the review process should take into consideration all facets of faculty performance, including the distribution of effort among teaching, research, and service, while recognizing that a particular faculty member's contributions may be weighted more heavily towards one area or may shift, depending on the mission and needs of the department or school. For librarians, the review process should take into consideration all facets of librarian activities, including the distribution of effort between performance, professional development, and service, while recognizing that a particular librarian's contributions may be weighted more heavily towards one area or may shift, depending on the mission and needs of the department, school, or library.

- There should be a formal linkage between faculty/librarian review and faculty/ librarian

development. Sufficient resources must be available for faculty development awards and assistance.

- The faculty/librarian development program must be coordinated with the review process so that programs specific to the needs of faculty or librarians who wish to enhance performance are offered and are coordinated with faculty/librarian development programs already in place. There must be ongoing analysis of current faculty/librarian development strategies and a determination of whether they are adequate to meet the needs of all faculty, but particularly those who are subject to a faculty/librarian development plan under Plan B.

- Since administrators play an active role in faculty or librarian success, deans, program directors, library directors, and department chairs should be provided with training programs on leadership and personnel management. These individuals are responsible for providing an environment and formulating policies which promote faculty/librarian success. They must be able and willing to make the difficult decisions in the rare instances where corrective measures are necessary. Review of administrators' abilities in leadership and personnel management should be incorporated into the regular administrative review process.

- The program should incorporate as much of the review mechanisms already in place to minimize the creation of duplicate processes. Peer review must be part of the process. For example, the existing process for annual reviews and/or reviews for salary recommendations could be used as an initiating mechanism to identify those faculty members or librarians who require an enhancement plan. The initiating mechanism should be designed to identify only those faculty members or librarians who, through annual reviews or feedback from annual reports, have been informed of persistent substandard performance over time (e.g., two consecutive annual reviews), rather than those with a single year of reduced productivity or lack of effectiveness.

- The process must carefully balance the potential good from the program with the cost of the program, particularly since the percentage of faculty members and librarians needing an enhancement program is expected to be quite small. Continuous learning and development, however, are expected of all faculty members and librarians. There must be adequate opportunities and resources to support this commitment.

- Schools shall be required to determine what constitutes "unsatisfactory performance." This definition and mechanism for measuring who has "unsatisfactory performance" shall be determined with faculty input and with full written notice to faculty upon the implementation of Faculty/Librarian Review and Enhancement in the school. For librarians, this definitions and mechanisms for measuring shall be determined by IUPUI Library Faculty documents, with written policies available to all librarians. However, the definition of "unsatisfactory performance" must include the concept of lack of effort, such that there is no evidence that the individual is trying to improve, rather than merely lack of results, which must take into account mitigating circumstances, such as a competitive research environment. Schools shall provide a copy of the policies to the Dean of Faculties' Office.

- The first implementation of the review and enhancement process in a school should take place after a sufficient time for schools and libraries to develop criteria and guidelines, but not later than one year after the adoption of this policy by the IUPUI Faculty Council.

- Due process must be assured.

- A corollary of this policy is a fair and equitable retirement system which provides faculty members and librarians with the opportunity to retire from their positions in a dignified manner.

Plan A: Voluntary. The Faculty Member or Librarian Requests the Preparation of a Faculty/Librarian Development Plan

This process is strictly voluntary for the purpose of assisting the faculty member or librarian in evaluating his or her career and in the preparation a faculty/librarian development plan. For faculty, the focus of the review is on the faculty member accomplishments, research agenda, teaching efforts, and service contributions, relating these to the stated criteria for performance developed by the school, the school and/or department's mission, or the faculty member's desire for a change in career focus. For librarians, the focus of the review is on the librarian's accomplishments, professional development agenda, and service contributions, relating these to the stated criteria for performance developed by the school, the school and/or library's mission, or the librarian's desire for a change in career focus.

No documents or results of this voluntary review may be used in any other university evaluation process, except by explicit consent of the faculty member or librarian.

1. Tenured faculty member or librarian requests assistance in the design of a faculty/librarian development plan. The request will contain a statement of the rationale for the request, including why a plan is needed and how the plan fits within the mission and goals of the school, the department, and/or the library. The individual to whom the request is submitted is identified in school-specific or IUPUI Library Faculty guidelines.

2. For faculty, the review will be conducted by an elected faculty review committee composed of a minimum of three tenured faculty members and excludes administrators at the level of department chair and above. Details of the election process are provided in school-specific guidelines. The faculty member has the right to reject a committee member in the case of a perceived conflict of interest. For librarians, the review will be conducted by an appropriate elected body, as specified in IUPUI Library Faculty documents.

3. The department chair, or in the case of schools without department chairs, the dean, the library director, or his or her designee, informs the faculty member or librarian of the nature and procedures of the review.

4. The faculty member or librarian and the department chair, or equivalent, prepare a review dossier, which includes the following at a minimum:

For Faculty:

- a current vita
- a statement on teaching or a teaching portfolio
- a statement on current research or creative work
- a statement on current service

For Librarians:

- a current vita
- a statement on performance
- a statement on current professional development activities
- a statement on current service

5. The department chair or equivalent:

- may add any materials relevant to the review, including prior evaluations and other

documents
- must provide the faculty member or librarian with a copy of each item added

6. The faculty member or librarian may add materials to the dossier at any time during the review process.

7. Based on a review of the request for preparation of a faculty/librarian development plan and the dossier, the review committee shall decide whether the request is reasonable, particularly if the goals of the faculty member or librarian are inconsistent with the mission of the school, department, and/or library.

8. The review committee, in cooperation with the faculty member or librarian, will prepare a faculty/librarian development plan. This plan will provide specific guidance and advice to help the faculty member or librarian more effectively achieve his or her revised career goals.

The plan should:
- identify specific strengths and weaknesses related to the faculty member or librarian's future goals and the extent to which these goals fit within the mission of the school, department, or library
- define specific activities and programs that could help the faculty or librarian achieve these goals
- set appropriate timelines for the completion of these activities
- indicate appropriate benchmarks which the faculty member or librarian could use to monitor his or her progress
- identify the source of any funding or institutional commitments, such as assigned time or new research equipment, based on discussions with the dean or library director

9. In the development of the plan, the review committee shall consider whether the resources required to achieve the faculty member or librarian's goals are reasonable or an appropriate long-term investment.

10. The faculty/librarian development plan shall be signed by the faculty member or librarian, the dean, library director, or designee, and the department chair or equivalent.

11. Since participation in the review process and preparation of a faculty/librarian development plan is voluntary, the faculty member or librarian may stop the process at any time, up until the point that the plan is agreed to and signed.

Plan B. Involuntary. A Faculty Member or Librarian is Identified as Needing a Review and the Preparation of a Faculty/Librarian Development Plan.

For faculty, the purpose of the review is to identify a faculty member's unsatisfactory performance, to re-affirm or change the division of efforts between teaching, research, and service, to structure a development plan to remedy any deficiencies, and to monitor the progress towards achievement of the plan. For librarians, the purpose of the review is to identify a librarian's unsatisfactory performance, to re-affirm or change the division of efforts between performance, professional development, and service, to structure a development plan to remedy any deficiencies, and to monitor the progress towards achievement of the plan.

The faculty/librarian development plan is an agreement indicating how specific deficiencies in a

faculty member or librarian's performance shall be remedied. The generation of a plan is a collaborative effort among the faculty member or librarian, the review committee, and the dean or library director and should reflect the mutual aspirations and intentions of the faculty member or librarian, the department, and the school or library.

1. The review process is initiated at the school level when at least two consecutive annual reviews indicate that a faculty member or librarian's performance is unsatisfactory, as defined by his or her school or library.

2. The Dean or library director notifies the faculty member or librarian being selected for review and informs him/her about the nature and procedures of the review.

- For faculty, the Dean may grant an exemption to a faculty member subject to review if there are extenuating circumstances, such as health problems, which contributed to unsatisfactory performance, or in the event of impending retirement.

- For librarians, the appropriate administrator may grant an exemption to a librarian subject to review if there are extenuating circumstances, such as health problems, which contributed to unsatisfactory performance, or in the event of impending retirement.

3. For faculty, the review will be conducted by an elected faculty review committee composed of a minimum of three tenured faculty members and excludes administrators at the level of department chair and above. Details of the process to elect and replace committee members are provided in school-specific guidelines. The faculty member has the right to reject a committee member in the case of a perceived conflict of interest. For librarians, the review will be conducted by an appropriate elected body, as specified in IUPUI Library Faculty documents.

4. The review committee can terminate the process if it finds that there is no basis for the review.

5. The findings of the review fall within three categories:

- Some strengths, no deficiencies.

  If the committee determines that the faculty member or librarian has met the minimum level of performance, as set by the or school or library, the faculty member or librarian and dean or library director will be informed and the review process terminated.

- Some strengths, some deficiencies, but deficiencies are not substantial or chronic.

  If the committee identifies some deficiencies in the faculty member or librarian's performance as compared to the minimum level of performance set by the school or library, but these deficiencies are not judged to be substantial or chronic, the committee shall state its findings in writing, including the specific deficiencies identified. The findings shall be sent to the faculty member or librarian and the dean or library director. The faculty member or librarian should be offered the opportunity to have a faculty/librarian development plan through the review committee process described under Plan A: Voluntary.

- Substantial chronic deficiencies.

  If the committee determines that there are substantial chronic deficiencies in the faculty member or librarian's performance, as measured against the school

or library's minimum level of performance, the committee shall state, in writing, the specific deficiencies identified. The findings shall be sent to the faculty member or librarian and his or her dean or library director.

6. The faculty member or librarian and the committee shall work together to draw up a faculty/librarian development plan. The plan will provide specific guidance and advice to help the faculty member or librarian remedy the identified deficiencies. The plan should:

- identify specific strengths which should be enhanced
- identify the specific deficiencies to be addressed
- define specific goals or outcomes that are needed to remedy the deficiencies
- outline the specific activities and programs that should be completed to achieve these goals and outcomes
- set appropriate timelines for the completion of these activities
- indicate appropriate benchmarks to be used in monitoring progress
- indicate the criteria for annual progress reviews
- identify the source of any funding or institutional support, such as assigned time or new research equipment, based on discussions with the dean or library director

7. The plan becomes final upon the signatures of the faculty member or librarian, the dean, library director or designee, and the department chair or equivalent. The signatures indicate that the formulation of a faculty/librarian development plan has been completed and is ready for implementation. It does not imply a faculty member or librarian's agreement with the findings. Rights of appeal are provided as described under #8. If a faculty member or librarian refuses to cooperate in the creation or implementation of a develoment plan, the dean may initiate a range of sanctions (see item 12). If a faculty member or librarian initiates an appeal, sanctions shall be suspended pending completion of the appeal processes.

8. The faculty member or librarian shall have the right of appeal as specified in the IU Academic Handbook, the IUPUI Supplement to the IU Academic Handbook, or the appropriate IUPUI Library Faculty documents.

9. The faculty member or librarian and the review committee shall meet at least annually to review the faculty member or librarian's progress towards remedying the deficiencies. A progress report will be sent to the faculty member or library and the dean or library director.

10. If progress is not made based on the specified timelines and benchmarks which are part of the faculty/librarian development plan agreement, the dean or library director may employ a variety of sanctions which have been developed at the school level with faculty input, as defined within school-specific guidelines or in IUPUI Library Faculty documents.

11. When the objectives of the plan have been met, or in any case, no later than three years after the start of the development plan, the review committee shall make a final report to the faculty member or librarian and the dean or library director.

12. Failure to successfully complete or demonstrate progress towards completion of the faculty/librarian development plan may result in significant sanctions for the faculty member or librarian, including initiation of dismissal proceedings based on alleged professional incompetence or alleged misconduct, as specified in the IUPUI Dismissal Procedures for Tenured Faculty and Librarians.

13. The procedures for dismissing faculty for misconduct or incompetence are separate from these policies and may be invoked, when appropriate, at any time; dismissal policies supercede the Policy for Faculty and Librarian Review and Enhancement.

TEXAS A&M UNIVERSITY RULE ON POST-TENURE REVIEW

I. Introduction

Among Texas public universities, Texas A&M University takes pride in having a unique set of missions. Established as a Land Grant institution to serve the educational, research, and public service needs of Texas in the areas of agriculture and engineering, Texas A&M University has since been designated a Sea Grant and a Space Grant institution, and its areas of scholarship have been greatly expanded. It is guided by the multiple synergistic missions of teaching, research, and public service.

The quality of a university's teaching, research, and public service can be no greater than the quality of mind and expertise that the faculty brings to those missions. Indeed, in the faculty lies the talent, commitment, wisdom, knowledge, and intellectual courage required to push forward the boundaries of knowledge, make important discoveries, bring them to classroom and laboratory, and apply them to the benefit of society. Consequently it is in the best interest of the university to create an environment in which these academic pursuits can flourish, and to invest in faculty development activities that enhance the success of a faculty vitally engaged in teaching, research, and service.

In the academic community, tenure has traditionally meant that a faculty member has demonstrated, over a specified number of years and to the satisfaction of peers, a sufficiently high level of performance in teaching and scholarship to warrant the granting of a permanent position on a university faculty. Tenure protects academic freedom, the right of faculty members to pursue original research, or study ideas that are new, unpopular, or misunderstood. Such freedom of thought can only benefit society. Tenure has developed over hundreds of years, and forms the foundation of the modern university in Western society. Its value in encouraging new generations of scholars and sustaining the quest for knowledge should not be taken lightly.

The faculty of Texas A&M University has always measured its performance against a high standard of excellence, which was established and is maintained by hiring the best new doctoral graduates or established professionals, and by conducting annual reviews of faculty performance. The rigor of the hiring and review process, the demands of quality teaching and student advising, the necessity and value of research, and the obligations of service to the public are clearly understood within the university community.

Post-tenure review is in furtherance of these high standards; and is intended to promote continued professional development. A fundamental purpose supporting post-tenure review is to enable a faculty member who has fallen below performance norms to pursue a peer-coordinated professional development plan and return to expected productivity. The objective is to conserve the investment of Texas A&M University in one of its great strengths, its dedicated faculty.

II. Post-Tenure Review

Post-tenure review at Texas A&M University applies to tenured faculty members and is comprised of annual review of performance (PPM 2.3.2.5, Section I., E.) and, in case of unsatisfactory performance as delineated in this policy, the construction of, and subsequent review of, performance in a professional development plan.

A. Annual Review. As specified in PPM 2.3.2.5, annual reviews of performance are to be conducted for all faculty; must result in a written document of expectations for each faculty member, commensurate with his or her rank and seniority; and provide that evaluations of performance in scholarship, teaching, service, and other assigned responsibilities be made in writing. In order for annual review to be an integral part of post-tenure review, it will have the additional characteristics:

1. In each department, stated criteria for categories of performance to be assessed in annual review will be established by departmental faculty and approved by department head and dean. The categories established will range from a level deemed most meritorious to one deemed unsatisfactory by departmental standards.

2. An annual review finding unsatisfactory performance shall state the basis for finding unsatisfactory performance in accordance with the criteria.

3. A report to the dean of unsatisfactory performance as assessed by annual review will be accompanied by a written plan for near-term improvement.

B. Professional Development Plan

1. Professional Review. A professional review will be initiated when a tenured faculty member receives three consecutive unsatisfactory annual reviews. The department head will inform the faculty member that he or she is subject to professional review, and of the nature and procedures of the review. A faculty member can be exempted from review upon recommendation of the department head and approval of the dean when substantive mitigating circumstances (e.g. serious illness) exist. The faculty member may be aided by legal counsel or another representative at any stage during the professional review process.

The purposes of professional review are to: identify and officially acknowledge substantial or chronic deficits in performance; develop a specific professional development plan by which to remedy deficiencies; and monitor progress toward achievement of the professional development plan.

The professional review will be conducted by an ad hoc review committee (hereafter referred to as the review committee), unless the faculty member requests that it be conducted by the department head. The three member ad hoc faculty review committee will be appointed by the dean, in consultation with the department head and faculty member to be reviewed. When appropriate, the committee membership may include faculty from other departments, colleges, or universities.

The faculty member to be reviewed will prepare a review dossier by providing all documents, materials, and statements he or she deems relevant and necessary for the review within one month of notification of professional review. All materials submitted by the faculty member are to be included in the dossier. Although review dossiers will differ, the dossier will include at minimum a current curriculum vitae, a teaching portfolio, and a statement on current research, scholarship, or creative work.

The department head will add to the dossier any further materials he or she deems necessary or relevant. The faculty member has the right to review and respond in writing to any materials added by the department head with the written response included in the dossier. In addition, the faculty member has the right to add any materials at any time during the review process.

The professional review will be made in a timely fashion (normally less than three months after the faculty member under review submits the initial dossier). The professional review will result in one of three possible outcomes: (1) no deficiencies identified. The faculty member, department head, and dean are so informed in writing, and the outcome of the prior annual review is superseded by the ad hoc committee report; (2) some deficiencies are identified but are determined not to be substantial or chronic. The review committee specifically elaborates the deficiencies in writing and a copy is provided to the faculty member, the department head, and the dean; (3) substantial or chronic deficiencies are identified. The review committee specifically elaborates the deficiencies in writing and a copy is provided to the faculty member, department head, and dean. The faculty member, review committee, and department head shall then work together to draw up a professional development plan acceptable to the dean.

2. The Professional Development Plan. The professional development plan shall indicate how specific deficiencies in a faculty member's performance (as measured against stated departmental criteria developed under 2.A.1 of this policy) will be remedied. The plan will grow out of a collaboration between the faculty member, the review committee, the department head and the dean, and should reflect the mutual aspirations of the faculty member, the department, and the college. The plan will be formulated with the assistance of and in consultation with the faculty member. It is the faculty member's obligation to assist in the

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development of a meaningful and effective plan and to make a good faith effort to implement the plan adopted.

Although each professional development plan is tailored to individual circumstances, the plan will: (1) identify specific deficiencies to be addressed; (2) define specific goals or outcomes necessary to remedy the deficiencies; (3) outline the activities to be undertaken to achieve the necessary outcomes; (4) set time lines for accomplishing the activities and achieving intermediate and ultimate outcomes; (5) indicate the criteria for assessment in annual reviews of progress in the plan; (6) identify institutional resources to be committed in support of the plan.

3. Assessment. The faculty member and department head will meet annually to review the faculty member's progress toward remedying deficiencies. A progress report will be forwarded to the review committee and to the dean. Further evaluation of the faculty member's performance within the regular faculty performance evaluation process (e.g. annual reviews) may draw upon the faculty member's progress in achieving the goals set out in the professional development plan.

4. Completion of the Plan. When the objectives of the plan have been met, or in any case, no later than three years after the start of the development plan, the department head shall make a final report to the faculty member and dean. The successful completion of the development plan is the positive outcome to which all faculty and administrators involved in the process must be committed. The re-engagement of faculty talents and energies reflects a success for the entire University community.

If, after consulting with the review committee, the department head and dean agree that the faculty member has failed to meet the goals of the professional development plan and that the deficiencies in the completion of the plan separately constitute good cause for dismissal under applicable tenure policies, dismissal proceedings may be initiated under applicable policies governing tenure, academic freedom, and academic responsibility.

III. Appeal

If at any point during the procedure the faculty member believes the provisions of this rule are being unfairly applied, a grievance can be filed under the provisions of PPM 2.3.2.6, "Faculty Grievance Procedures Not Concerning Questions of Tenure, Dismissal, or Constitutional Rights."

If the faculty member wishes to contest the professional review committee's finding of substantial or chronic deficiencies, the faculty member may appeal the finding to the dean, whose decision on such an appeal is final. If the faculty member, department head, and review committee fail to agree on a professional development plan acceptable to the dean, the plan will be determined through mediation by the University Tenure Mediation Committee.

IV. Voluntary Post-Tenure Review

A tenured faculty member desirous of the counsel of a professional review committee in evaluating his or her career may request such counsel by making a request to the department head.

Discipline and Dismissal

E.10.7 Disciplinary Action for Tenured Faculty

Disciplinary or tenure revocation action shall be initiated as outlined in this section of the Manual. These procedures must be used in a manner that is consistent with the protection of academic freedom and confidentiality, to the extent permitted by law, of all participants in such actions and must not be used in an arbitrary, unreasonable, capricious, or discriminatory manner. Participants shall conduct themselves in accordance with the Code of Ethical Behavior (Section D.9).

Any member of the University community who knowingly makes false statements as a part of these proceedings shall be subject to disciplinary action appropriate to his/her position within the University.

E.10.7.1 Basis

Any action involving possible disciplinary action or the revocation of tenure must rest on the following grounds:

a. A recommendation for disciplinary action or the revocation of tenure requires findings that the individual's level of performance has significantly declined over time and that his or her performance is significantly below the level of performance of those duties and responsibilities that are specified in the *Academic Faculty and Administrative Professional Manual* as they are normally interpreted and applied in his/her department. The findings must include a determination that the unsatisfactory level of performance has been maintained over a substantial period of time. There also must be written evidence that the unsatisfactory performance has been discussed with the faculty member and that no significant improvement in performance has occurred; and/or

b. Substantial and willful neglect of properly assigned duties or personal conduct that substantially impairs the faculty member's fulfillment of properly assigned duties and responsibilities or impairs such duties or responsibilities of others.

E.10.7.2 Initiating Procedures

The procedure will be initiated by a written and signed statement (hereinafter termed the Statement) from the person(s) making the original allegation(s) which specifies with reasonable particularity the alleged grounds for the revocation of tenure or disciplinary action. Any submission of this Statement must be made by a tenured faculty member or group of tenured faculty members of the department, the department head, the college dean, or the Provost/Academic Vice President and transmitted to the faculty member who is subject to these proceedings (hereinafter termed the "Faculty Member") and his/her immediate supervisor.[3]

E.10.7.2.1 Discussions to Achieve a Resolution

Before formal action is initiated, there shall be discussions between the Faculty Member and the appropriate administrative officers (department head, dean, and/or Provost, to the extent that they have no conflict of interest). The discussions must be completed within five working days[4] after the filing of the Statement. If discussions between the administrator/s and the Faculty Member result in a resolution of the matter that is acceptable to both the Faculty Member and the administrator/s and such resolution is confirmed by the University Mediation Officer ("UMO"), no further action shall be taken and a notation of the resolution shall be placed in the Personnel File of the Faculty Member. However, if the five-day period for discussion expires without such a resolution, the Statement shall be transmitted to the Preliminary Committee formed under Section E.10.7.2.2.a.[5]

E.10.7.2.2 Composition of the Preliminary Committee

a. The immediate administrative supervisor of the Faculty Member shall convene a preliminary investigative committee (hereinafter termed the "Preliminary Committee") within five working days after completion of the discussions described in E.10.7.2.1. This Preliminary Committee shall be comprised of the tenured faculty, or a committee thereof, as determined by the Department Code. In no case may this committee consist of fewer than six voting members. If there are fewer than six members of the department eligible for the committee, additional members will be drawn by lot from a pool consisting of all tenured faculty of the college having no administrative duties.[6] The immediate administrative supervisor of the Faculty Member and the Faculty Member may not be part of this committee.

Members who believe themselves sufficiently biased or interested that they cannot render an impartial judgment will remove themselves from the case on their own initiative. Challenges for cause shall be conducted according to the procedures described in Section E.10.7.2.2.b. The Faculty Member will have a maximum of two challenges without stated cause.

b. Challenges for cause may be lodged with the Preliminary Committee by any member of the Preliminary Committee, the person who submitted the Statement, or the Faculty Member. The UMO, with such advice from legal counsel for the University or from the Colorado Department of Law (Office of the Attorney General), as the UMO deems necessary or advisable, shall decide all challenges. The UMO may excuse a member of the Preliminary Committee even though actual cause cannot be proven.

c. One tenured faculty member from outside the department, having no administrative duties shall also serve on the committee. This person shall be appointed by the dean or, in the case of conflict of interest or in the Libraries, by the Provost/Academic Vice President and shall be a non-voting chair of the committee.

E.10.7.3 Preliminary Investigation

The Preliminary Committee will meet to discuss the charges in the Statement, evaluate the responses of the Faculty Member and determine whether a basis exists to conduct a hearing. During these proceedings, the Preliminary Committee may request additional Statements from the faculty member or the person(s) making the original allegations.

The preliminary investigation will be limited to the allegations specified in the Statement. Any additional allegations emerging during the preliminary investigation may be considered only after new Statements regarding such allegations have been submitted to the Committee and the Faculty Member has been given an opportunity to respond.[7]

E.10.7.3.1 Operational Procedures Prior to Formal Investigations

Pending a decision by the Preliminary Committee, the Provost/Academic Vice President may assign the Faculty Member to other duties. The Faculty Member may be suspended only if the President determines that continuance of the Faculty Member or other persons would substantially impair or disrupt normal functions of the University. Salary will continue during the period of the suspension.

E.10.7.3.2 Time Limitation in Conducting a Preliminary Investigation

a. The Faculty Member has 10 working days to respond to the charges specified in the Statement(s).

b. The Preliminary Committee shall complete its investigation within three working days after the Faculty Member has responded or failed to respond within 10 working days to charges specified in the Statement(s).

c. If this time schedule causes an extreme hardship for either the [illegible]inary Committee or the Faculty Member, the UMO may, upon request, extend the time [illegible] a reasonable period.

E.10.7.3.3 Recommendation and Further Action

a. Upon the completion of the preliminary investigation [illegible] Preliminary Committee shall retire for private discussion and review. These deliberations shall remain confidential and be followed by a vote. If a majority of the committee members eligible to vote determine that sufficient evidence exists to warrant a hearing, it shall recommend establishment of a hearing committee (hereinafter termed the "Hearing Committee") to the Provost/Academic Vice President. The Preliminary Committee's decision shall be conveyed immediately to the Faculty Member.

b. The Hearing Committee shall consist of at least six members and shall be comprised of the tenured faculty of the department, or a committee thereof, as determined by the department code, excepting the department chair and the Faculty Member. The committee shall be chaired by the person described in Section E.10.7.2.2.c. Challenges to any new members on the committee will be conducted as described in Section E.10.7.2.2.a. & b.

c. If the Preliminary Committee decides that a hearing is not warranted, the Provost/Academic Vice President may nevertheless, for convincing reasons stated in writing, direct a Hearing Committee to conduct a hearing of the charges.

d. Even if the Preliminary Committee decides that a hearing is warranted, the Provost/Academic Vice President may, for convincing reasons stated in writing, direct the Preliminary Committee to terminate further investigation and may decline to authorize the formation of a Hearing Committee.

E.10.7.4 Hearing

a. The Hearing Committee may hold organizational meetings, in executive session, which may include meetings with the Faculty Member as needed, to (i) clarify the issues, (ii) effect stipulations of facts, (iii) provide for the exchange of documentary or other information, (iv) formulate a list of potential witnesses, and (v) achieve such other appropriate pre hearing objectives as will make the hearing fair, effective, and expeditious.

b. The hearing and recommendations for action will be limited to the allegations specified in the Statement. Any additional allegations emerging during the hearing may be considered only after new Statements regarding such allegations have been filed with the Hearing Committee.

c. Service of notice of the hearing, with specific charges in writing, will be made within five working days following the completion of the preliminary investigation. The hearing shall commence 20 days following receipt of the notice by the Faculty Member unless the Faculty Member requests an earlier hearing and the Hearing Committee concurs. A notice is deemed to have been received when it is delivered personally to a recipient or five days after it is deposited in campus mail for transmission to such person.

d. Unless a public hearing is requested by the Faculty Member, the hearing shall be closed and the proceedings shall remain confidential to the extent permitted by law. During the hearing the Faculty Member and the Hearing Committee will be permitted to have an academic advisor and/or legal counsel present. Advisors and legal counsels may provide advice, but they may not actively participate in the proceedings such as making objections and attempting to argue the case. Counsel for any participant in such hearing shall be free to advise his or her client fully throughout the proceeding, including assisting the client in formulating any required written documentation and helping the client prepare for any oral presentations.

e. A verbatim record of the hearing or hearings will be taken and a printed copy will be made available, without cost, to the Faculty Member at the Faculty Member's request. The University will bear the cost.

f. The Faculty Member and Hearing Committee will be afforded an opportunity to obtain the names of all witnesses to be heard in the proceedings and the nature of their proposed testimony and documentary or other evidence. The administration will cooperate with the Faculty Member and Hearing Committee in securing witnesses and making documentary and other evidence available. The Hearing Committee may grant adjournments of a hearing to enable either the Committee or the Faculty Member to investigate evidence as to which a valid claim of surprise is made.

g. The Faculty Member and the Hearing Committee will have the right to confront and cross-examine all witnesses. Where the witnesses cannot or will not appear, but the committee determines that the interests of justice require admission of their statements, the committee will identify the witnesses, disclose their statements, and if possible provide for interrogatories.

h. The Hearing Committee is not bound by strict rules of legal evidence. Every possible effort will be made to obtain the most reliable evidence available.

E.10.7.5 Procedures Following Completion of the Hearing

The Hearing Committee shall retire for private discussion and review. These deliberations shall remain confidential to the extent permitted by law and shall be followed by a vote. The recommendation shall include a comprehensive and detailed report summarizing the relevant facts and the conclusions reached in assessing those facts. If any members of the Hearing Committee disagree with the recommendation, they shall prepare a minority statement explaining their reasons for disagreement with the majority.

E.10.7.5.1 Committee Recommendation That Tenure be Retained and No Disciplinary Action be Taken

No disciplinary action will be recommended unless at least two-thirds of the Hearing Committee concurs.

E.10.7.5.2 Committee Recommendation that Tenure be Retained and Disciplinary Action be Taken

If at least two-thirds of the Hearing Committee fail to recommend revocation of tenure, but two-thirds of the Hearing Committee decide that the conduct of a Faculty Member, although not constituting adequate cause for revocation of tenure, is sufficient to justify imposition of a sanction, such as suspension from duties with or without pay for a stated period, reduction in salary, reduction in rank, or a written reprimand, it may so recommend. The sanction recommended must be reasonably related to the seriousness of the offense and may take into account the record and service of the Faculty Member.

E.10.7.5.3 Committee Recommendation to Revoke Tenure

If at least two-thirds of the Hearing Committee vote to recommend the revocation of tenure, a report shall be prepared recommending the revocation of tenure and specifying the reasons for the recommendation. The statement report must include a review of the evidence and an explanation of the grounds for the recommendation.

E.10.7.5.4 Disposition of the Hearing Committee's Report and Appeal of the Recommendation

The Hearing Committee's report will be transmitted to the Faculty Member and his or her immediate administrative supervisor and, at successive steps, to the dean and the Provost/Academic Vice President.

The Faculty Member shall have the right to appeal an adverse recommendation of the Hearing Committee to his or her immediate administrative supervisor. This appeal shall be submitted in writing, not to exceed five typed pages, no later than five working days after receipt of the Hearing Committee's report. That supervisor shall respond to the Faculty Member in writing within five working days. Upon further appeals, the appeal and the response shall be considered at each succeeding level in the administrative chain.

E.10.7.5.5 Reversal or Modification of Hearing Committee Recommendations

The Faculty Member's immediate supervisor, the dean or the Provost/Academic Vice President may, for significantly convincing reasons, recommend action more or less severe than that recommended by the Hearing Committee. The convincing reasons for such a reversal of a recommendation at any administrative level must be stated in writing and be transmitted to the Faculty Member, the members of the Hearing Committee, and to the next person in the administrative chain (dean, Provost, or President). Upon reversal or modification of the recommendation, the Hearing Committee and/or Faculty Member may appeal the decision to the next level in the administrative chain (dean, Provost, or President). This appeal shall be submitted in writing, not to exceed five working days after the reversal or modification of the recommendation. The appeal shall be considered at each succeeding level in the administrative chain. If the Hearing Committee or Faculty Member does not file an appeal within five working days after the reversal, the recommendation shall be forwarded to the next level in the administrative chain. The Provost/Academic Vice President shall make a report of the case to the President with a recommendation of the action to be taken.

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E.10.7.6 Term of Continuation of Faculty Salary and Benefits Following Revocation of Tenure

Employment, together with salary and benefits, shall terminate upon a final decision to revoke tenure. However, tenure and employment may continue for a period not to exceed one year if the President independently determines or concurs in a recommendation of the Hearing Committee that the tenure contract be continued for that specified period to enable the Faculty Member to complete essential responsibilities.

The Provost/Academic Vice President may assign the Faculty Member to other duties during an investigation or review. The Faculty Member may be suspended only if the President determines that continuance of the Faculty Member in his or her regular position would threaten the safety or well being of the Faculty Member or other persons or would substantially impair or disrupt normal functions of the University. Salary will continue during the period of the suspension.

E.10.7.7 Time Limit for Action by the Provost/Academic Vice President

Pursuant to the recommendations of the Hearing Committee the Provost/Academic Vice President must act on revocation of tenure or disciplinary action recommendations within 10 working days of receiving the Hearing Committee's report. No recommendation shall become final without approval of the President.

E.10.7.8 Appeal of Decision

In the event that the Faculty Member is dissatisfied with the President's decision, the Faculty member can appeal the decision to the State Board of Agriculture (see Section K.5.8.3).

IOWA STATE UNIVERSITY

Faculty Handbook

Policies and Procedures

Fall 1999

Faculty Dismissal and Grievance Procedures

Faculty Dismissal Procedures
- Prehearing Settlement
- Preliminary Investigation
- Written Statements
- Hearing Committee
- Hearing
- Regents Decision

Termination because of Financial Emergency
Termination of Graduate Assistants
Faculty Grievance Procedures
- Who may File Appeals
- Appeal through Administrative Channels
- Appeal through Faculty Senate Committee on Appeals
  - Faculty Senate Committee on Appeals
  - Procedures in a Faculty Appeal
  - Responsibilities of Provost
  - Keeping Records
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- Amendments

Faculty Dismissal Procedures

The procedure described here is one to determine whether or not dismissal action against a faculty member is warranted, and to develop a mechanism involving the faculty in an advisory capacity. Dismissal is defined as severance from a position before expiration of the stated term of appointment. For the purposes of this document, definition of faculty is limited to those holding the rank of instructor, assistant professor, associate professor, or professor.

A faculty member may be dismissed only with due process and only for adequate cause which includes, in addition to financial exigency of the institution, the following:

- professional dishonesty in teaching, research, or extension activity
- demonstrated incompetence
- substantial and manifest neglect of duty
- serious misconduct prohibited by official university policies

Included among these policies are the "Statement on Professional Ethics," the "Policy on Sexual Harassment," and the "Rules of Personal Conduct." Less serious violations of such policies are subject to sanctions short of dismissal, including reprimand and suspension. The Board of Regents, State of Iowa reserves the power to dismiss a member of the staff for other causes, but this power is exercised only under exceptional circumstances and then only for conduct which is clearly prejudicial to the best interests of the university.

The following procedure is adopted for the handling of cases in which the issue is whether a faculty member should be dismissed from employment. It is a dismissal procedure; it is not a grievance procedure, which is to say that failure to grant promotions, leaves of absence, salary increases, or renewals of term appointments is not a basis for invoking this procedure. It is intended to serve the best interests of and to be fair to the individual concerned and to the university. The procedure recognizes the statutory power of the Board of Regents to employ and to dismiss members of the faculty of the Regent institutions (*Iowa Code* §262.9(2) 1958).

When an administrative officer of the university believes that there is sufficient cause for discharge of a faculty member who has tenure, or whose term of appointment has not expired, no formal dismissal action shall occur until the faculty member has been given benefit of the appropriate procedural steps outlined below.

1. Prehearing Settlement

Every effort shall be made to settle the issue of dismissal through discussion. That is, before further proceedings are undertaken, conscientious attempts shall be made to resolve the issue in conversations between the staff member concerned and his/her department executive officer or dean. If this alternative fails, there shall be a conference of the faculty member, the dean or head of the department, and a representative of the president. The faculty member shall have the privilege of bringing a colleague of his/her own choosing to this conference.

2. Preliminary Investigation

If the issue cannot be resolved through discussion, the president shall request the Faculty Senate to appoint a committee of three faculty members to determine the validity and seriousness of the grounds for dismissal and to determine if, in their opinion, further proceedings are justified. If, in its written report to the president, the committee recommends such proceedings, or if the president, regardless of the committee's recommendations, believes it to be in the best interest of the university to pursue the issue, formal proceedings shall begin. If the issue is pursued, a formal statement of the grounds shall be transmitted in writing to the faculty member. In the event that neither the committee nor the president finds cause for implementing formal proceedings, the charges will be deemed not serious enough to warrant dismissal and the faculty member's standing will be removed from jeopardy.

3. Written Statements

The next step in the proceedings shall begin after the president has prepared a written set of specifications outlining, with reasonable particularity, the grounds for proposed dismissal and stating as fully as may be the facts relied on for dismissal and names of witnesses to these facts, together with reference to the rules or regulations allegedly broken. In addition, the specifications shall outline in detail the procedure to be followed and shall inform the faculty member concerning his/her procedural rights. The faculty member shall be given a period of 30 days in which to prepare a reply; should the faculty member request additional time, and the hearing committee deem the request just, the time period may be extended. If they choose, faculty members may waive their right to a formal hearing and allow a written statement to constitute their defense.

4. Hearing Committee

After the president sends formal charges to the faculty member concerned, the president shall inform the president of the Faculty Senate, and that body shall select a group of 11 faculty members as nominees for the hearing committee. All members of the college faculties as defined in the *Basic Document of the Faculty Senate*, §9 other than those with the title of president, provost, vice president, vice provost, dean, director, associate provost, associate vice president, associate dean, associate director, assistant vice president, assistant dean, or assistant director, are eligible for appointment to this committee. The president and faculty member each have the option of two preemptory challenges from the list selected by the senate so that the committee membership may vary from seven to 11 members. No member of the hearing committee shall be chosen from the preliminary committee of three. In addition, no member of the hearing committee shall be junior in rank to the faculty member whose dismissal is proposed and, except in unusual circumstances, no member of the accused's department shall serve on this committee. The committee shall elect its own chair.

5. Hearing

Initially, the hearing committee shall consider the formal charges and the faculty member's reply. If the faculty member waives his/her right to a formal hearing,

the committee shall decide on the basis of available information whether or not dismissal is warranted. If a hearing is not waived, as early a date as is practicable should be set. Hearings will be closed.

In case the facts are in dispute, the committee shall determine the order of proof, rules of evidence and hearing procedure. The burden of proof shall be on the administration as the moving party. The president, or representative of the president, shall be allowed to attend throughout the hearing and to assist in developing the case. However, the committee should normally conduct the questioning of witnesses and may request such additional evidence as the case seems to require.

The accused shall have the right to counsel, whose functions in developing the case parallel those of the president or the president's representative. The administration and the accused shall have the right within reasonable limits to question orally all witnesses appearing before the committee. While formal rules of evidence and court procedure are not necessary, the accused shall have the right to confront adverse witnesses.

All evidence shall be duly recorded.

After the evidence is presented, the parties shall be allowed a reasonable time to sum up and make oral argument; the committee may also require written briefs. When the committee is satisfied that each side has had a complete hearing, it shall retire in private to make its findings of fact and its recommendations.

The hearing committee shall make explicit findings on each of the formal charges presented and shall give reasons for each finding. The faculty member and the president shall immediately be given a copy of the findings of fact and recommendations, together with a transcript of the record if requested. No publicity shall be disseminated about the hearing or about the committee's actions until the hearing has been completed; then only the president will make the formal announcement of the committee's findings and recommendations.

6. Regents Decision

Since the Board of Regents has final power in matters of dismissal, it may choose to review the case. An appeal to the Board of Regents should be directed to the Office of the Board of Regents and must be presented no later than 20 working days following receipt of the president's decision. Until the final decision upon termination of an appointment has been reached, the faculty member may be suspended, with pay. If the appointment is terminated, the faculty member will receive salary for the period of notice to which he/she is entitled. This provision for terminal notice or salary does not apply in the event that there has been a finding that the conduct which justified dismissal involved moral turpitude.

ADEQUATE CAUSE:

11. A tenured faculty member may be dismissed for adequate cause (see Section IV 9). Similarly, when adequate cause exists, a tenure-eligible faculty member may be terminated without adherence to the standards of notice specified in Section IV 8. Adequate cause shall mean lack of competence or failure to perform in relation to the functions required by the appointment, excessive absenteeism, moral turpitude, or grave misconduct. Dismissal will not be used to restrain faculty members in their exercise of academic freedom or other rights of American citizens. Standards of notice as specified in Section IV 8 are not required in cases of dismissal for adequate cause.

Ordinarily, the faculty member will be provided written notice of the alleged misconduct, and an opportunity to meet with the appropriate administrator(s) having knowledge of the alleged misconduct. If the faculty member elects to attend such a meeting, he or she will be provided an explanation of the alleged misconduct, following which the faculty member will be given an opportunity to respond.

Based on the information available after the faculty member has been given the opportunity to meet with appropriate administrator(s) having knowledge of the alleged misconduct, the matter may be resolved at this juncture. If the matter is not resolved and serious concerns remain regarding the faculty member's alleged misconduct, the cognizant Dean will consult with the Executive Vice President and Provost about the appropriateness of termination for adequate cause. If both the cognizant Dean and the Executive Vice President and Provost concur that the disciplinary sanction of termination for adequate cause is appropriate under the circumstances, the faculty member will be advised that the matter will be referred by letter from the cognizant Dean to the Chair of the Standing Joint Committee on Tenure, unless the faculty member requests the opportunity to resign in lieu of termination.

The Dean's letter to the Standing Joint Committee on Tenure shall set forth the reasons for seeking termination of the faculty member, and the faculty member shall be provided a copy of the letter.

The Standing Joint Committee on Tenure will hold a hearing to receive evidence and adjudicate the matter. Every effort shall be made to hold the hearing within sixty (60) calendar days of the date of the Dean's letter to the Committee. Suspension of the faculty member prior to a final decision by the President is justified only if there are compelling reasons to believe that harm to the University, its faculty, staff, or students will occur or be threatened by the faculty member's continued active status during the pendency of the proceedings. Any such suspension shall be with full pay and benefits.

The burden of proof for dismissing a faculty member for adequate cause shall at all times be on the University.

V. GROUNDS FOR TERMINATION

Termination of the employment of a librarian or archivist with continuing appointment, or any other librarian or archivist before the expiration of the stated period of appointment, except by resignation, retirement, or under extraordinary circumstances because of demonstrable bona fide financial exigency, will be only for adequate cause shown with the burden of proof on the University.

VI. TERMINATION PROCEDURE

A. In each case of termination the issue will be determined by an equitable procedure, affording protection to the rights of the individual and to the interest of the University. In cases where the respondent librarian or archivist admits his or her conduct constitutes adequate cause, or does not choose to have a hearing, he or she may offer his or her resignation in writing.

B. Before the filing of formal charges, every reasonable effort shall be made to mediate and conciliate differences. If a settlement is not reached, the procedure outlined in the most current edition of the Faculty Handbook will be followed. This procedure allows for thorough investigation before charges for dismissal are filed, a hearing by a representative committee, and a final decision by the Board of Regents.

C. The President can suspend a librarian or archivist from some or all of his or her duties if the President reasonably believes that the allegations, if true, create a likelihood of harm for persons or the University. The suspension is with pay until such time that the suspended librarian or archivist has been accorded appropriate procedural rights.

VII. NOTICE OF NON-REAPPOINTMENT, TERMINATION, OR RESIGNATION

A. Full-time librarians or archivists in their first year with the University, whose duties commence with the first semester of the academic year, must be notified by the following March 1 if they are not to be appointed.

B. Full-time librarians or archivists in their first year with the University, whose duties commence after November 15, must be notified by the following April 15 if they are not to be reappointed.

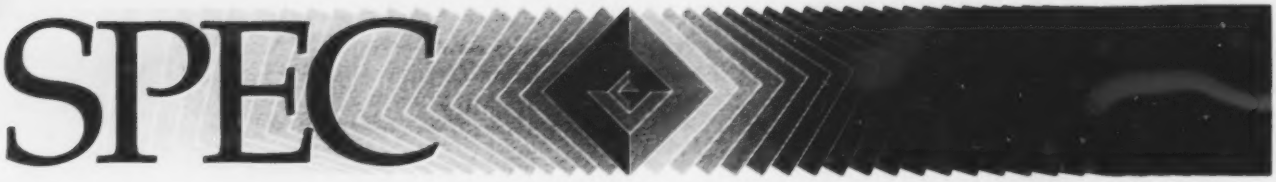
C. Full-time librarians or archivists who are in their second year with the University, and who are not to be reappointed, shall be notified by December 15 of the academic year in which the appointment is to terminate.

D. Full-time librarians or archivists with more than two years with the University will be notified of non-reappointment by issuance of a terminal contract for one academic year.

E. Full-time librarians or archivists who hold a position by appointment for a fixed time period shall receive notice of non-reappointment in accordance with the terms of the appointment or in accordance with VII.A, B, C, or D above.

F. The University is not required to give a librarian or archivist who does not hold continuing appointment a reason for a decision of non-reappointment. However, each librarian or archivist is entitled to see all of his or her personnel file and to obtain a copy of the information contained therein. If a librarian or archivist without continuing appointment alleges that a decision not to reappoint him or her is caused by considerations violative of academic freedom, for constitutionally impermissible reasons, or for significant non-compliance with the University's established standards or prescribed procedures, the allegation shall be given preliminary consideration by the Library Promotion and Continuing Appointment Committee. If the Committee concludes that there is probable cause for the allegation, the Committee shall notify the Provost , who will notify the Tenure Advisory Committee to convene the hearing committee. The matter will be heard in accordance with procedures outlined in the most current edition of the Faculty Handbook.

G. Notice of resignation by a librarian or archivist shall be given as early as possible to obviate serious inconvenience to the University.



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SPEC KIT ORDER FORM

QTY	TITLE	
____	SP261	Post-Tenure Review
____	SP260	Interview Process
____	SP259	Fee-based Services
____	SP258	Corporate Annual Reports
____	SP257	MLS Hiring Requirement
____	SP256	Changing Roles of Lib Profs
____	SP255	Branch Libs/Discrete Collectns
____	SP254	Managing Printing Services
____	SP253	Networked Info Services
____	SP252	Supprt Staff Classifictn Studies
____	SP251	Electronic Reference Service
____	SP250	TL10: Educating Faculty
____	SP249	Catalogng of Resrces Digitized
____	SP248	Licensing of Electronic Prodcts
____	SP247	Management of Lib Security
____	SP246	Web Page Devel & Managmnt
____	SP245	Electronic Reserves Operations
____	SP244	TL 9: Renovatn & Reconfigurtn
____	SP243	TL 8: Users with Disabilities
____	SP242	Library Storage Facilities
____	SP241	Gifts and Exchange Function
____	SP240	Marketing and PR Activities
____	SP239	Mentoring Programs in ARL
____	SP238	ARL GIS Literacy Project
____	SP237	Managing Food and Drink
____	SP236	TL 7: E Theses/Diss
____	SP235	Collaborative Coll Managmnt
____	SP234	TL 6: Distance Learning
____	SP233	ARL in Extension/Outreach
____	SP232	Use of Teams in ARL
____	SP231	Cust Service Programs in ARL
____	SP230	Affirmative Action in ARL
____	SP229	Evaluating Acad Libr Dirs
____	SP228	TL 5: Preserving Digital Info
____	SP227	Org of Doc Coll & Svcs
____	SP226	TL 4: After the User Survey
____	SP225	Partnerships Program
____	SP224	Staff Training & Development
____	SP223	TL 3: Electronic Scholarly Pubn
____	SP222	Electronic Resource Sharing

QTY	TITLE	
____	SP221	Evol & Status of Approval Plans
____	SP220	Internet Training
____	SP219	TL 2: Geographic Info Systems
____	SP218	Info Technology Policies
____	SP217	TL 1: Electronic Reserves
____	SP216	Role of Libs in Distance Ed
____	SP215	Reorg & Restructuring
____	SP214	Digit Tech for Preservation
____	SP213	Tech Svcs Workstations
____	SP212	Non-Librarian Professionals
____	SP211	Library Systems Office Org
____	SP210	Strategic Planning
____	SP209	Library Photocopy Operations
____	SP208	Effective Library Signage
____	SP207	Org of Collection Develop
____	SP206	Faculty Organizations
____	SP205	User Surveys in ARL Libs
____	SP204	Uses of Doc Delivery Svcs
____	SP203	Reference Svc Policies
____	SP202	E-journals/Issues & Trends
____	SP201	E-journals/Pol & Proced
____	SP200	2001: A Space Reality
____	SP199	Video Collect & Multimedia
____	SP198	Automating Preserv Mgt
____	SP197	Benefits/Professional Staff
____	SP196	Quality Improve Programs
____	SP195	Co-op Strategies in Foreign Acqs
____	SP194	Librarian Job Descriptions
____	SP193	Lib Develop & Fundraising
____	SP192	Unpub Matls/Libs, Fair Use
____	SP191	Prov Pub Svcs Remote User
____	SP190	Chang Role of Book Repair
____	SP189	Liaison Svcs in ARL Libs
____	SP188	Intern, Residency & Fellow
____	SP187	ILL Trends/Staff & Organ
____	SP186	Virtual Library
____	SP185	System Migration
____	SP184	ILL Trends/Access
____	SP183	Provision of Comp Print Cap
____	SP182	Academic Status for Libns
____	SP181	Perf Appr of Collect Dev Libn
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____	SP168	Student Employment
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____	SP161	Travel Policies
____	SP160	Preservation Org & Staff
____	SP159	Admin of Lib Computer Files
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____	SP157	Fee-based Services
____	SP156	Automating Authority Control
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____	SP154	Online Biblio Search
____	SP153	Use of Mgt Statistics
____	SP152	Brittle Books Program
____	SP151	Qualitative Collect Analysis
____	SP150	Bldg Security & Personal Safety
____	SP149	Electronic Mail
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____	SP146	Lib Dev Fund Raising Capabilit
____	SP145	Lib Publications Programs
____	SP144	Building Use Policies
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____	SP126	Automated Lib Systems
____	SP125	Tech Svcs Cost Studies
____	SP124	Barcoding of Collections
____	SP123	Microcomp Software Policies
____	SP122	End-User Search Svcs
____	SP121	Bibliographic Instruction
____	SP120	Exhibits
____	SP119	Catalog Maintenance Online
____	SP118	Unionization
____	SP117	Gifts & Exchange Function
____	SP116	Organizing for Preservation
____	SP115	Photocopy Services
____	SP114	Binding Operations
____	SP113	Preservation Education
____	SP112	Reorg of Tech and Pub Svcs
____	SP111	Cooperative Collection Dev
____	SP110	Local Cataloging Policies
____	SP109	Staff Training for Automation
____	SP108	Strategic Planning
____	SP107	University Archives
____	SP106	Electronic Mail
____	SP105	Nonbibliographic Dbases
____	SP104	Microcomputers
____	SP103	Asst/Assoc Dir Position
____	SP102	Copyright Policies

QTY	TITLE		QTY	TITLE		QTY	TITLE	
____	SP101	User Studies	____	SP067	Affirm Action Programs	____	SP033	Intergrat Nonprint Media
____	SP100	Collection Security	____	SP066	Planning Preserv of Lib Materials	____	SP032	Prep, Present Lib Budget
____	SP099	Branch Libraries	____	SP065	Retrospective Conversion	____	SP031	Allocation of Resources
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